Managerial Leadership Competencies of Heads of Departments: A Case Study of Higher Educational Institutions in Kerala, India

A Dissertation submitted by

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ABSTRACT

The higher education sector (HES) has seen many changes in recent decades. The HES has not escaped challenges to do with globalisation, including the pressure to become more competitive. Higher Education Institutions (HEIs) globally are also faced with the need for greater accountability. These challenges lead to the need for improved managerial leadership in and of these organisations. The HES is a key driver of economic growth, particularly in developing countries, such as India. Indian HEIs, though, have been described in the literature as having inappropriate managerial structures, with poor administration, leadership and HR practices. The exploratory and descriptive research underpinning this dissertation revolves around the required managerial leadership competencies (MLCs) of Heads of Departments (HoDs) at Kerala HEIs. The interplay between the contextual settings of the HEIs and the required MLCs is considered and options of how these competencies can be developed are explored. The HEIs studied, as part of this research, are all located in the State of Kerala, India, and were selected to represent the maximum variation of types in this sector namely universities, colleges (one private and one public) and a 'deemed university'. This case study thus reflects information collected at six separate case organisations. In each embedded case the HoDs from six departments were interviewed. Each HoD also completed an analytical tool designed for this research - the *Kerala Universities and Colleges Analytical Tool* (KUACAT). Relevant available information was also scrutinised. In addition, Superiors of the HoDs were interviewed and focus groups were conducted with followers and with other HoDs. All of which ensured data triangulation. It has been found that Kerala HEIs face issues similar to that reported in the literature about other HEIs in India but also some different organisational challenges than reported in respect of HEIs internationally. Key findings from this study include: lack of funding; lack of political will for quality improvement; political influence and corruption; outmoded management and leadership practices; lack of HR sophistication; and a less than satisfactory work culture within HEIs. Although some aspects of culture and organisational context interplay with some of the MLCs, the vast majority of required MLCs were found to be similar to competencies as elucidated in the Competing Values Model (CVM) of Quinn et al (2003), which originate from a western environment. The conclusions from this study are fourfold. Firstly, whilst there is some variance across the different case organisations, overall 24 competencies were identified as being required by HoDs in Kerala HEIs. Secondly, 83 percent of the identified MLCs were found to be generic supporting the school of thought that most MLCs are similar for managers, irrespective of contextual aspects such as culture, industry sector or organisational context. Thirdly, it was found that there were three organisation/sector and one job specific competencies, supporting the perspective that contextual setting should not be ignored when the aim is to identify and develop MLCs of relevant managers. Finally, a clear need for developing the MLCs of HoDs at Kerala HEIs has been identified however challenges in this regard seem to be linked to lack of HR and managerial effectiveness, political and cultural issues. HoDs were clearly able to identify the process by which the development of MLCs should occur. A number of theoretical implications flowing from this research are pinpointed including the potential usefulness of the CVM. Two key implications for policy makers of the Kerala HES are pointed out with regard to direction and funding issues. Finally, recommendations are made regarding developing the MLCs of HoDs at Kerala HEIs.

Key words: Managerial Leadership Competencies, Higher Education, India, Competing Values Model, Culture

CERTIFICATION OF DISSERTATION

I certify that the ideas, experimental work, results, analyses, software, and conclusions reported in this dissertation are entirely my own effort, except where otherwise acknowledged. I also certify that the work is original and has not been previously submitted for any other award, except where otherwise acknowledged.

Signature of Candidate Date

ENDORSEMENT

Signature of Supervisor Date

Signature of Supervisor Date

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LIST OF ABBREVIATIONS

AIU	Association of Indian Universities
BPO	Business Process Outsourcing
BRIC	Brazil, Russia, India and China
CPE	College with Potential for Excellence
CUSAT	Cochin University of Science and Technology (Case C)
CVF	Competing Values Framework
CVM	Competing Values Model
ESL	English as a second language
FG	Focus Group
FGF	Focus Group of Followers
FGF	Focus Group of HoDs
GATT	General Agreement on Tariffs and Trade
GDP	Gross Domestic Product
GLOBE	Global Leadership and Organisational Behavioural Effectiveness
GMLC	General Managerial Leadership Competency
HDI	Human Development Index
HE	Higher Education
HEIs	Higher Education Institutions
HES	Higher Education Sector
HoD	Head of Department
HR	Human Resources
HRD	Human Resource Development
HRM	Human Resource Management
ICT	Information and Communication Technology
IIT	Indian Institute of Technology
IMG	Institute of Management in Government (Kerala, India)
IT	Information Technology
JSC	Job Specific Competency
KUACAT	Kerala University and Colleges Analytical Tool
MGU	Mahatma Ghandi University (Case B)
MCI	Management Charter Initiative

LIST OF ABBREVIATIONS continued

MIC	Mar Ivanois College (Case E)
ML	Managerial Leadership
MLCs	Managerial Leadership Competencies
MLD	Managerial Leadership Development
MNCs	Multi National Corporations
N.A	Not applicable
n.a	not available
n.d.	no date
NACC	National Assessment and Accreditation Council
NCVQ	National Council for Vocational Qualification
NIT	National Institute of Technology
NIT-C	National Institute of Technology -Calicut (Case F)
NVQ	National Vocational Qualifications
OECD	Organisation of Economic Cooperation & Development
OSC	Organisational Specific Competency
PVC	Pro Vice Chancellor
RI	Research Issue
TQM	Total Quality Management
UC	University College (Case D)
UGC	University Grants Commission
UoK	University of Kerala (Case A)
UNESCO	United Nations Educational, Scientific and Cultural Organisation
USQ	University of Southern Queensland
VC	Vice Chancellor
WTO	World Trade Organisation

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Chapter One: Introduction

1.1 Background to the research

Globally, higher education institutions (HEIs) are facing significant change (da Motta & Bola 2008) driven by a number of factors - globalisation, technology, the knowledge economy, a more competitive environment, scarcer resources, increasing demands and the need to meet diverse stakeholders' interests (Ahmad 2004; Mok 1999; Temple & Ylitalo 2009). As a result greater accountability and external scrutiny in all public services, including HEIs has emerged, in particular, in the last decade (Brunetto 2001; Meyer 2002; Mok 1999; Thomas & Harris 2000).

The higher education sector (HES) has seen significant growth and it is estimated that it will become one of the biggest industries contributing to the knowledge economy (Chipman 2000). This growth has been fuelled by the changing world economy which is pushing organisations of all types, including HEIs, to become more internationally competitive (Holian 2004; McGee & Festervand 2002) or at least to be considered to be moving towards internationally recognised best practice (Holian 2004).

In past years, a criticism of HEIs has been their resistance to change, however with HEIs now a key force in knowledge-dependent societies, change is inevitable (Meyer 2002). In western countries managerialism has emerged as a force impacting on the way HEIs are now operating (Barry, Chandler & Clark 2001; Duke 2001; Erwee et al. 2002; Meyer 2002; Mok 1999; Moreland & Clark 1998; Rindfleish 2003).

An internationally oriented education system is a key factor to the future economic health of a country as it continues to move towards a knowledge based society (Brunetto 2001; McGee & Festervand 2002; Meyer 2002) and this is specifically relevant to Asian economies (Chatterjee 2001). This has considerable implications for India as one of the fastest growing economies in the world (Koster & Rai 2008) with a prediction to become the world's fourth largest economy (Budhwar & Khatri 2001), as well as one of the largest exporters of a trained and educated employees (Gopalan 2004). In addition, as Indian organisations increasingly trade with knowledge capital, education becomes a prime factor in the development of the national economy (Chatterjee 2001). However, India faces considerable challenges in the "provision of equitable, quality education that

prepares its youth for participation" in the knowledge economy (Bhattacharya & Sharma 2007 p561). The question arises as to how capable the Indian HES is in providing the skilled employees needed to contribute to India's growth.

As HEIs face a greater need for accountability, managerial leadership (ML) within HEIs has become a focus of growing interest (Barth et al. 2007; Blackmore 2000; Bolden, Petrov & Gosling 2008a; Clegg 2005; da Motta & Bola 2008; Jones & Holdaway 1996; Kallenberg 2007; Kekäle 2003; Lucas 2000; Mercer 2009; Muijs et al. 2006; Ramsden 1998; Temple & Ylitalo 2009). Increased accountability has fuelled the adoption of managerial leadership competencies (MLCs) in a number of HEIs for both academic and non academic managers (Erwee et al. 2002; Mok 1999). Various researchers have identified that variations in skills, functions and contexts of management roles makes a one-size-fits-all competency profile impractical (Hayes, Rose-Quirie & Allinson 2000; McKenna 2002). Thus, the different organisational culture of HEIs has required adaptation of competency development from that of the private sector (Erwee et al. 2002). As the department is considered to be the basic unit of the HEI (Bolden, Petrov & Gosling 2008b) and critical to the delivery of core activities (Clark 1983; Ramsden 1998) there is a clear need to better understand the ML role of head of departments (HoDs) (Thompson & Harrison 2002).

A review of the literature indicates that Burgoyne's (1993) assertion that use of competencies has a strong relationship to Anglo-Saxon culture, predominantly stands true today. It is thus important to consider the relevance of a competency approach in non western cultures (Denison, Haaland & Goelzer 2004) and in particular to understand what MLCs are needed within the HE context (Barth et al. 2007). The purpose of this exploratory and descriptive study is to investigate how the required MLCs of HoDs can be identified and developed within HEIs. It specifically focuses on the *context*, - the cultural and organisational contexts that may impact on the competencies required by HoDs and *content* - an understanding of the MLCs required and how these may differ from those in the literature. This study also considers the *process* and describes the preferred type of managerial leadership development (MLD) identified by HoDs.

1.2 Research problem, research issues and contributions

1.2.1 Research question

Given the above background, the research question for this study is:

> *What are the required managerial leadership competencies for HoDs, within the cultural and organisational context of Kerala HEIs, and how can these competencies be developed?*

1.2.2 Theoretical frameworks and research issues

Due to the absence of any established theoretical framework for a study of MLCs within HEIs in a developing country, such as India, it is important to clarify the theoretical bases of the study (Budhwar & Khatri 2001). A number of different approaches covering the key issues impacting on the development of MLCs are drawn together in this study. A review of the literature, in Chapters two and three, highlights a number of the key issues pertinent to this study. The *context*, *content* and *process* of the study are presented.

Two aspects form the *context* of the study:

- national culture and how it pertains to India, and Kerala. Hofstede's (2001a) cultural model has been identified as the framework to be used, in part, in describing Kerala's cultural dimensions, and
- the HES with a focus on current challenges for the sector and a consideration of both the Indian and Kerala contexts. The *Competing Values Framework* (CVF) developed by Quinn (1988) has been selected to be used, in part, in understanding the organisational context of Kerala HEIs.

The *content* of the study, MLCs, and the *process*, how MLCs can be developed, are presented in Chapter three. From the literature review theoretical frameworks for MLCs were assessed. The resulting theoretical framework selected for this study is partly based on the *Competing Values Model* (CVM) (Quinn et al. 2003). The CVM has a number of strengths in relation to a consideration of MLCs and is outlined in section 3.5.2.3. In addition the work of New (1996) in defining the difference between job specific, general management and corporate (or organisational) specific competencies has also been addressed in the theoretical framework (section 3.5.2.5). Lastly, the use of a tool by Dhorranintra (1999) assisted in identifying the *process* of MLD.

Five research issues have been drawn from a consideration of the above mentioned literature and the development of a theoretical framework (section 3.5.4). The research issues, established in Chapter three, are listed below:

R I 1 What is the cultural context within Kerala?

RI 1.1.How does the cultural context impact on the development of MLCs?

R I 2. What is the organisational context of Kerala's HEIs?

RI 2.1 How does the organisational context impact on the development of MLCs?

R I 3. What are the MLCs required by HoDs?

R I 4. How do the required MLCs at Kerala HEIs differ from those identified in the literature?

R I 5. How can Kerala HEIs develop the MLCs of HoDs?

1.3 Justification for the research

In this section, the relative neglect of the specific research problem by previous researchers is delineated and the importance of the area being investigated is described.

1.3.1 Relative neglect of the research problem by previous researchers

With the relatively recent privatisation and globalisation policies of the Indian government, transformations in human resource management (HRM) in India have come to the fore (Budhwar & Sparrow 1997) As a result, a core of studies on a variety of HRM issues in India have been conducted: performance appraisal (Amba-Rao et al. 2000); HRM in international joint ventures and foreign firms (As-Saber, Dowling & Liesch 1998; Björkman & Budhwar 2007); HRM in public and private sectors and strategic interventions (Budhwar & Boyne 2004; Budhwar & Sparrow 1997); a comparative study between UK and India (Budhwar & Khatri 2001); changing ways of working (Hay 1996); trade unions and empowerment (Ramaswamy & Schiphorst 2000); diversity (Paelmke & Erwee 2008; Ratnam & Chandra 1996); the impact of HRM on organisational performance (Chand & Katou 2007); talent management (Bhatnagar 2007; Budhwar & Baruch 2003); climate and individual performance (Biswas & Varma 2007); organisational culture and productivity (Mathew 2007) and people management (Raman, Budhwar & Balasubramanian 2007).

However, the literature remains sparse compared to the huge variety of HRM practices developing in India and in comparison to the rest of the world (Budhwar & Singh 2007). Indeed, HRM, like management in general, is caught between a western management

model and concepts derived from the country's cultural milieu and there thus needs to be a stronger focus on the management of human resources (HR) (Budhwar, Woldu & Ogbonna 2008).

To date there is still little research on many Indian HR practices (Budhwar & Khatri 2001; Gupta 2004a; Virmani 2004). Further work needs to be done to focus on evolving patterns of specific HRM practices (Amba-Rao et al. 2000), particularly considering the difference between private and public sector organisations (Mathew 2007). Thus there is a need to both understand and validate competency utilisation in Indian organisations (Chandramouly 2002).

There has been little focus in the research literature to the area of MLCs, and no international research has been found to date that considered these issues within Indian HEIs. As well, research has not been focused on the appropriateness of management techniques to the culture and the political context in India (Virmani 2004). None of the cited studies have considered HR practices in the state of Kerala. There is an identified lack of research on competencies, and specifically on MLCs, within the Indian context.

1.3.2 Importance of the area being investigated

India is an important emerging economy [along with the other BRIC economies of Brazil, Russia and China] (Björkman & Budhwar 2007) and is currently the 10th largest economy in the world (Budhwar & Boyne 2004; Stephen 2005). India, as stated previously, is predicted to become the world's fourth largest economy, and it also has the largest pool of scientific and technical personnel in the world (Bhattacharya & Sharma 2007; Budhwar 2003; Budhwar & Boyne 2004; Budhwar & Khatri 2001; Raman, Budhwar & Balasubramanian 2007). India has other unique advantages such as a well functioning democracy; large domestic market, macroeconomic stability, a free market economy, and well-developed financial and private sectors, so according to the World Bank (2005), India should be in a position to leverage the benefits of a the knowledge revolution to improve its overall economic performance.

India's population is growing by approximately 20 million people each year, and according to the United Nations report on *Revision of the World Population Prospects* (2004) India will overtake China as the most populous nation on earth from approximately the year 2030 onwards (Parsal 2005; Stephen 2005). This population

growth has created a bulge, that is, an increase in the percentage of the population concentrated in the working ages often referred to as a "demographic dividend"(Chandrasekhar, Ghosh & Roychowdhury 2006; Mason 2005).

Within this context, it is concerning however that the absorption of "Indian youth into the labour force is not as high as one would expect... perhaps due to the poor employability of the workforce" (Chandrasekhar, Ghosh & Roychowdhury 2006 p5055). This poor employability can be argued to be because of educational deficits in terms of both quality and quantity (Amba-Rao et al. 2000; Chandrasekhar, Ghosh & Roychowdhury 2006; Overland 2000). It is imperative that due importance be given to higher education so that India can harness the benefit of this demographic dividend.

The importance of educational institutions, and especially HEIs, to a country's improved economic performance has been well documented (Atanu 2004; Faruqui & Qureshi 1999; Gopalan 2001; Joshi & Joshi 1999; Kurup & Thatte 2001; Sanders 2003; Sodha & Srivastava 2004; St George 2006). In response to the challenges facing such a potential economic power house, India is attempting to modernise and transform its institutions, including HEIs (Amba-Rao et al. 2000).

With over 300 Universities and 15,000 Colleges, India has the second largest education system in the world after the United States (Gosai 2004). Indian HEIs have an annual output of over three million into the employment market (Associated Free Press 2006). However, India does not have enough HEIs to educate its growing population (Kulandalaiswarmy 2005). It is also one of the 'youngest' nations in the world with a population of younger people as compared to older (Kumar 2005) with only six percent of the relevant age group (17-24 years) enrolled in higher education (HE), compared with an estimated figure of 20 percent considered necessary for sustained economic development. In turn, this 20 percent figure falls short of the 50 percent in countries belonging to the Organisation of Economic Co-operation and Development [OECD] (Parkash 2004; Powar 2001).

India spends approximately four percent of national income on HE, and according to world rankings contained in the *Human Development Report* (2004) India is ranked 78th in the world in relation to public expenditure on education (State Planning Board 2008). India's spending of 4.1 percent is well below that of its national objective of six percent of

GDP (Aiyar 2004) and in real terms, competing needs have in fact shrunk the actual amount being allotted to HE in India (Amba-Rao et al. 2000; Overland 2000; Venkateswaran 2000). Compared to other developing countries India lags behind Malaysia, Indonesia and the Philippines in the percentage of public spending allocated to education (Census 2001). As well, few Indian universities make it into international rankings (Prathap & Gupta 2009) with only seven Indian universities ranking in the top 100 in the Asia Pacific Region in a 2009 survey of over 2,000 universities globally.

Within India, the HEIs are coming under scrutiny as the government strives to meet its objectives to provide funding. As a result, there is a demand for radical changes to the national system of HE (Joshi 1998; Thakore 2004). With the liberalisation of trade in services, through the General Agreement on Tariffs and Trade (GATT) protocol including HE (Gosai 2004) arising from the Doha round of the World Trade Organisation (WTO) in 2001 (Stella & Gnanam 2004), there is an imperative for India to upgrade HE to an international standard to compete in the world arena.

In June 2006 the Prime Minister of India committed to "adequate resources for a massive expansion in our higher education system…" (Special Correspondent 2006b p17). The Prime Minister of India has called for a reconstruction of the Indian HES, describing the current situation as deteriorating (Special Correspondent 2006b) whilst Ramon (2007) contends that the level of competencies in employees varies across HEIs in India as does the quality of output. Hence one of the largest challenges for India is to identify the most appropriate method of managing their HEIs (Negi 2004). HEIs in India have been experimenting with management approaches to deal with challenges arising from both internal and external factors (Joshi 1998).

The State of Kerala purports to have the highest rate of literacy in India (Government of Kerala: the official Web Portal 2008; State Planning Board 2008). In March 2005 the Minister for Education stated the intention to make Kerala an international HE destination (Mahadevan 2005a), and this requires a change in the way HEIs are led and managed. A step towards this has been the establishment of the State Higher Education Council in 2007 (State Planning Board 2008). This political imperative highlights the increasing involvement of stakeholders in the vision of HEIs and also the importance of conducting research in the field of academic managerial leadership (ML) within the HEIs

in Kerala. Developing HoDs becomes one of the critical components for academic administration in order to enhance quality in HEIs (Hoppe 2003). Thus an examination of the required MLCs for HoDs and ways to develop them provides an important platform for strengthening the managerial function in Kerala HEIs.

In summary, given the lack of literature on the development of MLCs within non western countries, including India, and the prominence with which HEIs are placed in the move to knowledge based economies (Newby 2000), and in particular given the importance being placed on the development of Kerala HEIs as well as the predicted growth of the Indian economy, this research provides a significant contribution both to the literature, and in identifying implications for management practice and policy.

1.4 Methodology

A case research approach is used for this research. A case study, also known as case research (Perry 1998), can be defined as "an empirical inquiry that investigates a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly evident" (Yin 2003 p13). A case study methodology brings specific benefits to different fields of management (Carson et al. 2001), and specifically HRM (Carroll & Marchington 1999; Simon, Sohal & Brown 1996; Skinner 2004), as it provides the opportunity for an examination of rich data (Carson et al. 2001; Naslund 2002). It also can be considered the preferred strategy when the investigator has little control over events in a real life context (Yin 2003), such as in the research being undertaken. A further benefit of this approach is that case studies offer a holistic view, in that the whole is not identical with the sum of its parts; and so the case study offers the opportunity to create the case as the central object of study within these real life events (Gummesson 1991; Yin 2003). Hence case research has gained acceptance as a legitimate methodology in the study of organisations (Brunetto 2001).

This research is a qualitative study. It is descriptive in that it describes the context that the HoD operates in, cultural and organisational, as well as the *content* - the MLCs and the *process* - how MLCs may be developed. It is also exploratory as it discovers how a theoretical framework is emerging which can assist in a better understanding of the required MLCs for HoDs in Kerala HEIs (Leedy & Ormrod 2001). This study takes a critical realism approach to case study design. Critical realism is the preferred paradigm

for case study research as it is a tool that enables the collection of perceptions of, in this case, managers' and Superiors' views of the MLCs required (Perry 1998).

The methodology used in this study follows the recommendation of Yin (2003), and has four stages: case study design; conduct the case study through six cases; analysis of the case study evidence; development of the conclusions, recommendations and implications. The unit of analysis for this study is organisational, that is each embedded case is a university or college from the HES in Kerala, India. In this study, six cases were selected to give maximum variation (Patton 2002) in terms of size, location and organisational structure (refer **Appendix A**). A multi-phase design was used to collect the data using a variety of techniques. Participants are managers who head significant academic units or departments at each of these HEIs, drawn from the institutions' organisation charts. Managers are defined as heads of academic departments or functions and in all cases have non managerial subordinate staff. In addition, the participants are classified as decision makers by the relevant Vice Chancellor (VC), Pro Vice Chancellor (PVC), Director, or Head of College, resulting in 44 interviews (36 HoDs and 8 Superiors).

In the data collection process, three key principles were observed: use of multiple sources of evidence/ triangulation; creation of a case study database; and maintaining a chain of evidence (Hastings 2004; Rowley 2002; Yin 2003). These are discussed in greater detail in Chapter four. The data collection process was guided by a case study protocol which included: an overview of the case study project; field procedures, case study questions, and evaluation (Yin 2003). Data analysis was conducted through a variety of methods. Initially, each case was analysed against each of the research issues. This was then followed by a cross case analysis (Patton 2002). This study addresses validity and reliability concerns by using triangulation with multiple cases, multiple sources of evidence, use of appropriate data collection, and data analysis strategies. This study thus addresses generalisation by the use of analytical generalisation and by the use of multiple cases to confirm or disconfirm the theory (Patton & Appelbaum 2003).

1.5 Outline of the dissertation

The outline of the dissertation is as follows:

Chapter One: Introduction

This chapter provides an introduction for the dissertation and presents the background to the research, the research problem, and research issues, as well as justification for the research. This chapter also contains a brief outline of the methodology and structure of the thesis, and definitions and delimitations are provided.

Chapter Two: Research issues I

A review of the literature forming the *context* of the study, and which contribute to the research problem and research issues, is described. The aspects of the context of this study are culture (including Indian and Kerala culture) and the industry sector - the HES.

Chapter Three: Research issues II

From the basis built in Chapter Two, the *content* of this study, MLCs, and the *process* - development of MLCs are presented before the research problem area - MLCs of HoDs in Kerala HEIs is discussed. Classification models of the literature are also presented, and the research question and five research issues are detailed.

Chapter Four: Methodology

The approach to the empirical part of this study is presented in this chapter, including the justification for the research paradigm and methodology. The methodology is described with sufficient detail to allow another researcher to replicate the procedure and ethical considerations are outlined.

Chapter Five: Research results and analysis of results

In this chapter the data collected on a per case basis are presented in Part A and then cross case analyses of the results is described in Part B.

Chapter Six: Discussion and implications

This chapter contains a discussion of each of the five research issues. A conclusion to the research problem is then presented. Implications for theory, practice and methodology are outlined. Limitations are acknowledged, areas for further research are presented, and contributions of the research are outlined.

1.6 Definitions

Definitions adopted by researchers are often not uniform and there can be a number of interpretations of the terminology in the literature. Below are the key terms adopted for this study?

Colleges are located in different parts of a state and all of them are affiliated to a regional university. The colleges offer programmes under that university (*Wikipedia* n.d.).

Culture is defined as "the shared motives, values, beliefs, identities and interpretation or meanings of significant events that result from common experiences of members of collectives that are transmitted across generations" (House et al. 2004 p15).

Deemed university: A deemed university is an institution noted for its contributions in specialised subjects or disciplines and as such has been granted the status of universities (Powar 2000) by the University Grants Commission (UGC) of India.

Department is defined as an organisational unit within a HEI through which staff deliver academic programs and or conduct research.

Heads of Department (HoD) is defined as the recognised person responsible for the outputs and processes of a department within the institutions' organisational structure. HoDs have non managerial subordinates reporting to them.

Higher education (HE) is defined as various types of education given in postsecondary institutions of learning and awarding, at the end of a course of study, a named degree, diploma, or certificate of higher studies (http://www.britannica.com 2008).

Higher Educational Institutions (HEIs) are defined as all post secondary education facilities in the field of higher education.

Managerial Leadership (ML) is defined as the ability to integrate opposite and complex roles in order to manage human relation functions, organise, adapt and be productive, in pursuit of the organisation's goals (Hellriegal, Jackson & Slocum 2005; Quinn et al. 2003) [refer section 3.2.1.4 for a justification of the selection of this definition].

Managerial Leadership Competencies (MLCs) are defined as integrated sets of manager behaviours and attributes which can be directed towards successful goal achievement within competence domains in one's job, to agreed work standards, and that can be improved via training and development (Barber & Tietje 2004; Stuart & Lindsay 1997) [refer section 3.2.2.1 for a justification of the selection of this definition].

Managerial Leadership Development (MLD), is defined as the expansion of a person's capacity to be effective in managerial leadership roles and processes (McCauley 2004).

Organisational culture is the "shared, or taken-for-granted, assumptions held by the members of an organisation, derived from prior experiences, learning, assumptions, beliefs and preoccupations" (Schein 1997 p28)

University: A university is defined, according to the Oxford Dictionary as "the whole body of teachers and scholars engaged, at a particular place (or places), in giving and receiving instruction in the higher branches of learning with definite organisation and acknowledged powers and privileges (especially that of conferring degrees), and forming an institution for the promotion of education in the higher branches of learning…" (2005).

1.7 Delimitations of scope and key assumptions and their justifications

The scope of this study is limited to the consideration of two key contextual factors cultural and organisational which, from the extant literature, are identified as having a considerable impact on the identification of MLCs. A study looking at Irish organisations (Heffernan & Flood 2000) considered other issues such as size, ownership and environment as well as organisational performance. Ownership and organisational performance have not been included as key factors in this study. Ownership in Heffernan and Flood's study referred to private sector and was not appropriate in a context where all HEIs are state funded or subject to State or Federal control. As Heffernan and Flood (2000) indicate, the concept of organisational performance has difficulty in both definition and in measurement and thus was not included in this study. Instead, perceptions of organisational and managerial effectiveness were collected in the data set in regard to organisational context.

The study does not emphasise the distinction between leadership and management as the debate has been covered in depth in the literature. Quinn et al (2003) stress the importance of both leadership and management, but with lack of conclusive evidence as a basis for differentiating between the two they use the concept of *managerial leadership.* This concept will be used throughout the study (see section 3.2.1.4).

This case study includes six HEIs as stated above. The study does not include small specialised private colleges. Thus one limitation of this study is that the findings are

only generalisable to the HEIs in Kerala due to lack of homogeneity in culture across India (Amba-Rao et al. 2000). A second delimitation is that the study focuses only on academic HoDs and not non-academic (administrative) heads, such as in Erwee's (2002) study. This is due to the fact that in Indian universities the non academic heads of department have little real decision making abilities and act within a more rigid bureaucratic system (Powar 2001). According to Dr R.D Anand, Director Research AIU, New Delhi non academic heads "undertake duties directed by the Vice Chancellor" (pers. comm., 2nd August 2005). Thus, the study is designed to focus on the HoDs who are responsible for the core business of these organisations.

One methodological limitation is the selection of HoDs for interview by the relevant head of the organisation. Given the cultural environment, emphasis on seniority as well as motivation of managers, it was considered more viable to access HoDs suggested by their Superior as they would make time for an interview if asked in this way. However diversity of gender and culture was considered in the final selection of interviewees.

1.8 Summary

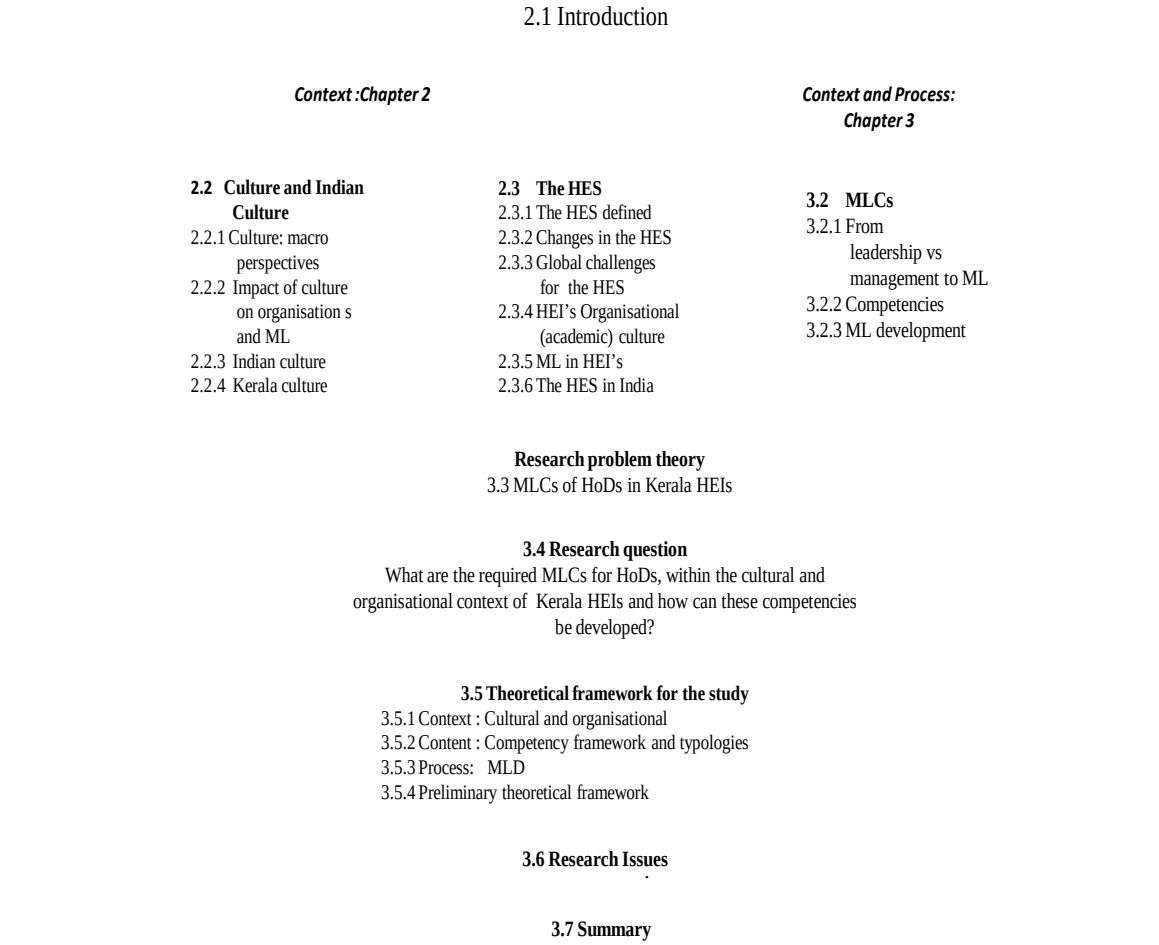
This chapter laid the foundations for the study. The research problem and research issues were presented, the research was justified, definitions were introduced, and the methodology was briefly described and justified. An outline of the thesis was presented, and the limitations were delineated. Based on these fundamentals, the next two chapters will cover the literature relevant to this study.

Chapter Two: Research Issues I

2.1 Introduction

Following on from the introductory chapter this chapter, and the next, presents a review of the relevant literature. The planned approach to the consideration of the extant literature (Figure 2.1) for Chapters two (highlighted in green) and three (highlighted in blue) mirrors that of the conceptual framework of the study. The aim is to analyse relevant conceptual and theoretical dimensions; to identity gaps in the research and to build a theoretical framework for this study. The approach is to proceed systematically to cover global or western concepts reported in the extent literature and then to consider literature focusing on India and or Kerala.

Figure 2.1: *Conceptual framework for the literature review*



(Developed for this study)

This chapter has two sections, each covering one of the *contextual* aspects of the study. The first is *culture*, and particularly Indian and Kerala culture - as presented in section 2.2. The second is the industry sector in which this study is embedded - that is the HES - as presented in section 2.3. MLCs, - the *content* aspect of the study, and MLD - the *process* aspect, are presented in Chapter three. The interrelationship between the context and content of this study is also explored. The research question and theoretical framework are then presented and the research issues are delineated.

2.2 Culture and Indian culture

This section focuses on one key aspect of relevance to the *context* of this study - culture. Firstly, a macro perspective of culture is considered, before cultural dimension models are discussed. The issue of sub cultures and the impact of culture on organisations and ML are then presented. Finally, the culture of India and that of Kerala completes this overview.

2.2.1 Culture: macro perspectives

Culture per se is a complex phenomenon encompassing a host of components and different meanings (Pylee 2004; Sackmann & Phillips 2004), which change slowly over time (Hofstede 1993, 2005). Culture is the subject of a vast area of studies crossing fields such as anthropology, sociology, behavioural sciences, as well as the business environment. There is no one agreed upon definition and culture may be defined based on the field of the researcher or the parameters under investigation (House et al. 2002; Sackmann & Phillips 2004). Thus it is important that a definition be identified and this study uses the definition from the *Global Leadership and Organisational Behaviour Effectiveness* (GLOBE) research program. The GLOBE program is a network of 170 social and management researchers from 62 cultures throughout the world, working to describe and understand the impact of culture on both leadership and organisational processes (House et al. 2004) [1] [see also section 2.2.1.1, 2.2.3.1-2 and 3.2.1.2].

Culture is thus defined as "the shared motives, values, beliefs, identities and interpretation or meanings of significant events that result from common experiences of members of collectives that are transmitted across generations" (House et al. 2004 p15).

[1] The GLOBE study used a questionnaire approach (supported by focus groups) and focused on middle managers across three private sector industries [finance, food processing and telecommunications]

Values are considered to be at the core of culture (Hofstede 2005). Values can be viewed as personal or group preferences from among a range of possibilities that may include aesthetic, cultural, educational, political and economic aspects (Singh 2000). Values are defined as "broad tendencies to prefer certain states of affairs over others" (Hofstede 1999 p35). The cultural values of Kerala thus form part of the context impacting on MLCs of HoDs and will be included in the interview protocol.

2.2.1.1 Cultural dimensions

Hofstede's (2001a) model of culture has become a landmark study, contributing significantly to theory and methodology (Javidan & House 2002) and is the most widely used framework in cross-cultural research (Sivakumar & Nakata 2001; Sondergaard 1994). Hofstede's work provides a valuable platform to better understand and measure national cultures (Javidan & House 2002) and provides a framework to study the impact of differences in cultures on management (Kolman et al. 2003). The framework was based on empirical research in a multinational company, and 116,000 employees in 66 countries were analysed using factor analysis (Lagrosen 2003). Hofstede's cultural framework provides a robust empirical basis of five dimensions of culture, four of which were drawn from his earlier work (Javidan & House 2002). Hofstede added a fifth dimension, long versus short-term orientation based on the findings of later research in China (Hofstede & Bond 1988). This has been incorporated into a modified Hofstede model (Kolman et al. 2003; Zagorsek, Jaklic & Stough 2004), outlined in Table 2.1.

***Table 2.1**: Hofstede's modified cultural model*

Power distance	This dimension concerns inequalities in power and wealth between different levels in the population.
Individualism and collectivism.	In some countries people tend to see themselves mainly as individuals and care mainly about themselves and their closest family. In other countries the group that a person belongs to is more important and forms the main basis for the identity.
Masculinity and femininity.	Masculine countries tend to favour hard, rational, analytic values whereas feminine countries tend to value softer more holistic and intuitive aspects.
Uncertainty avoidance.	Inhabitants of countries with high uncertainty avoidance tend to regard phenomena that are different in some way, as dangerous and threatening. These countries have a higher level of anxiety and put much emphasis on rules and regulations.
Long-term vs. short-term orientation.	Refers to the extent to which a culture programs its members to accept delayed gratification of their material, social, and emotional needs.

[Adapted from Hofstede(1993), Kolman et al (2003) and Zagorsek, Jaklic & Stough (2004)]

Other cultural models and dimensions have been developed, such as the Kluckhohn and Strodtbeck model modified by Trompenaars (1997), and the model by House and Aditya (1997) which encompassed Hofstede's dimensions (House et al. 2002). The Hofstede model was used as the basis for the first six dimensions of the GLOBE research program (House et al. 2004). These studies are compared and presented in Table 2.2.

Table 2.2: *Comparison of cultural dimension models*

Hofstede	**Trompenaars**	**House & Aditya (GLOBE)**
Power distance	Universalism vs. particularism	Power distance
Individualism and collectivism	Individualism vs. collectivism	Collectivism
Masculinity and femininity	Neutral vs. affective	Gender differentiation
Uncertainty avoidance	Specific vs. diffuse	Uncertainty avoidance
Long-term vs. short-term orientation.	Time orientation	Future orientation
	Achievement vs. ascription	Performance orientation
		Family collectivism
		Assertiveness
		Humane orientation

(Developed for this study)

Some authors have criticised the use of cultural dimensions. Kanter & Corn (1994) suggest that a consideration of central country value tendencies tend to be reported at a very high level of generality, and fail to consider the heterogeneity of some countries, including India. Collett (1998 p224) suggests that any models developed to explain cross-cultural differences in ML style are in fact too simple and that the "full complexity and richness of culture needs to be reclaimed".

Despite these criticisms the modified Hofstede model has substantial face validity and has been used to empirically demonstrate a relationship to many aspects of ML and organisation through a host of studies cited in Kolman et al (2003) and was used as the basis for the GLOBE study. Thus the cultural dimensions of Hofstede will be used, in part, for a consideration of Kerala culture.

2.2.1.2 Sub cultures

Although culture is often considered at a national level as per the discussion above, there are different layers of culture. As regional cultures may vary from those of a national identity (Oommen 1999; Pheng & Alfelor 2000) such as in the case of India with its heterogeneous population and variation across states (Amba-Rao et al. 2000; Banerjee 2008; Ratnam & Chandra 1996) the concept of culture can be applied at a smaller unit of analysis (Blodgett, Bakir & Rose 2008). Both Laroche (2005) and Craig (2006) support this arguing that national culture focuses on aggregation and thus variations across sub cultures may be concealed.

Many different sub-cultures coexist in Indian society each with distinctive values, norms, beliefs and behaviours (Banerjee 2008). A number of Indian authors such as Sinha (Sinha 1994; 1995), Singh and Krishnan (2005), Kanungo (1990) and Kanungo & Mendonca (1994) have looked more specifically at the complexity of culture and sub cultures in India. Sinha and Kanungo (1997 p94) suggest that "studies of Indian culture and behaviour often yield inconsistent and contradictory findings".

The position taken in this study is that the specific sub culture must be considered for the implications to be relevant (Cesare & Sadri 2003) and hence the study is restricted to the sub culture of Kerala.

2.2.2 Impact of culture on organisations and managerial leadership (ML)

National culture influences the attitudes and behaviours in a population including organisations; while organisational cultures influence employees (Dedoussis 2004; Hofstede 2005; Lagrosen 2003; Tata & Prasad 1998; Tayeb 1988). Thus organisational culture can be considered a subset of national culture (Graf 2004). One perspective is to consider national culture and organisational culture as both influencing behaviour at work (Graf 2004; Hofstede 1998; Lim 1995). Adler (1997) suggests that patterns of behavior in organisations may differ because differences in national cultures result in different attitudes and values. If this position is accepted then these forces influence the way members of the organisation relate to each other as well as the systems, structure, and processes (Dedoussis 2004).

There are two positions on the issue of whether national culture has an impact on organisations and ML. The structuralist argument maintains a 'culture-free' position i.e. that relationships among the major components of organisational structure are similar across different cultures (Dedoussis 2004), whilst the culturalist argument is a 'culture-bound' position, suggesting socio-cultural forces impact on ML and organisations (Baldacchino 1997; Cheng, Dainty & Moore 2003; Dedoussis 2004).

Several authors (Budhwar & Sparrow 2002; Hofstede 1993) have reported that the culture-bound arguments should be applied to the HR arena as "management practices are not universal but 'socially constructed' in each society" (Budhwar & Khatri 2001 p801). However, the degree of influence of culture-bound and culture-free factors on HRM varies from country to country, and for example in the context of this study, the strong impact of unions and other pressure groups on HRM in India, presents one indicator of the context specific nature of HRM practices (Budhwar & Khatri 2001).

The issue as to whether culture has an impact on organisations and ML remains unresolved (Redding 1994). Dorfman and House (2004 p54) conclude that there may be some convergence in management practices yet there is still no evidence of "a single model of management practice or cultural values towards which all nations are converging" A consideration of multi national companies (MNCs) approach to multi cultural situations can assist in resolving some of this dilemma. The most common approach to the development of competencies in MNCs has been to set broad based values and to then let each country or cultural region define their own detailed competencies to fit within these values (Boutet, Milsom & Mercer 2000). Though this approach is still flawed by the potential clash of values between the culture and the organisation, it certainly recognises the need for adaptation and there is now more arguments for the view of 'modified convergence' i.e. that some aspects of societies tend to converge while others diverge, depending on variables such as time and circumstances (Budhwar, Woldu & Ogbonna 2008).

It is thus important that MLCs developed primarily in the west, not simply be instilled in Indian organisations, but rather, a redefinition of MLCs be developed with consideration of both the culture itself and the behaviour of the decision makers within the relevant

organisation being studied (McKenna 2002). Thus both the cultural and organisational context of the study's case organisations will be considered.

2.2.2.1 Values and practices

One of the core elements of culture which impacts on ML and organisations is that of values. Management is subject to cultural values, thus ML can alter from country to country in the same way that values do. Hofstede (2005) distinguishes between values and practices, in that the former are acquired early in life and are more enduring whereas the latter are acquired latter in life, and as they are at a more superficial level, are more subject to cultural change. Thus management practices may be driven by both enduring values, as well as the more changeable practices of a culture; both of which can be impacted by the organisational culture or environment of the manager.

2.2.2.2 Work culture

As well as values and practice, work culture may vary across cultures. Work culture is defined, for this study, as work related activities in the framework of norms and values regarding work (Glisson & James 2002). If the "norms and values are conducive to work then the work culture may be considered to be strong" (Sinha 1995 p200). The literature to date, in regard to cross cultural work values, has in the main adapted Western concepts, and attempted to describe what they may mean within a different cultural context (Harvey, Carter & Mudimu 2000). There has been what appears to be an implicit assumption that the

> "instillation of such motives is both desirable and possible…despite the fact that the comparisons with Western countries suggest fundamental differences which indicate the need for redefinition of some of these concepts" (Harvey, Carter & Mudimu 2000 p724).

2.2.3 Indian culture

In this era of rapid globalisation and the increasing interdependence of the world's economies, national culture is paradoxically becoming more, rather than less, important (Zagorsek, Jaklic & Stough 2004), and this is particularly true for India. India is one of few countries with a heterogeneous cultural setting and a large degree of dissimilarity and diversity among its different groups - a complex cultural array, a massive population base, fourteen recognised languages, seven major religions, numerous castes as well as strong regional differences (As-Saber, Dowling & Liesch 1998; Budhwar 2003); and it is

also the largest democracy in the world (Amba-Rao et al. 2000). As an important emerging economy India also has an ingrained problem with corruption (As-Saber, Dowling & Liesch 1998). The most recent world survey based on the Corruption Perception Index ranked India at 72nd out of 180 [with ranking 1 = the least corrupt] (PTI 2008) with Hooker (2009 p256) asserting that "bribery is a fact of life in India".

India is seeking to modernise and transform its institutions to ensure economic progress towards the goal of becoming a developed country by the year 2020 (Ghosh M & Ghosh 2009; Kulandalaiswarmy 2005), however this has to be achieved within an environment of the socio-cultural heterogeneity, described above, as well as traditional social hierarchical values (Amba-Rao et al. 2000; Chatterjee & Pearson 2004; Thapisa 1999). This may impact on Indian managerial thinking which is influenced by two factors; culture and western management theory adopted by Indian colleges and universities (or gained by a western education) resulting in a conflict of management culture (Budhwar 2003; Hooker 2009; Neelankavil, Mathur & Zang 2000).

Thus Indian managers are likely to internalise values from the west and also from Indian culture which then coexist and can be drawn upon in varying situations (Budhwar 2003).

Kanter and Corn (1994) provide some evidence to suggest that technical orientation can override a national orientation, essentially arguing that those within the same profession can hold the same set of values regardless of nationality. Indian managers can thus "experience a clash between the values acquired from their education and professional training and those drawn from Indian culture and society" (Fisher, Shiroleacute & Bhupatkar 2001 p697). The impact of such complexity on HRM practices and specifically MLCs cannot be easily identified.

2.2.3.1 India's cultural dimensions

India was one of the countries studied in Hofstede's (1980) original research and was found to have low uncertainty avoidance; high power distance; medium collectivism; medium masculinity and a long term time orientation. However, a study by Kanungo and Mendonca (1994) indicated some differences from Hofstede, in relation to a higher uncertainty avoidance and a lower masculinity score. India was one of the 62 societies considered in the GLOBE study which used additional cultural dimensions (see section 2.2.4). Chhokar's (2007) study involved organisations from the north and west of the

country (9 of the 10 studied) with only one coming from the south (the region of this study). These studies are presented in Table 2.3.

Table 2.3: *India's classification based on Hofstede's five cultural dimensions*

Dimension	Hofstede	Other Studies
Uncertainty Avoidance (UA)	*Low UA* at work commensurate with Hindu belief in *karma*, which promotes a sense of fatalistic acceptance of current uncertainty rather than proactive efforts to reduce it.	*Relatively high UA*: implying an unwillingness to take risks and accept organisational change (Kanungo & Mendonca 1994). Low uncertainty avoidance (Chhokar 2007)
Power Distance (PD)	*High PD* reflective of traditional Indian social respect for paternalistic, hierarchic authority by age, caste, family status and gender; runs counter to progressive and egalitarian US management trends, and the extent of resistance to or acceptance of such Western management values. In the HES, a high PD implies Teachers are gurus who transfer personal wisdom.	*High PD*: implies that managers and subordinates accept their relative position in a hierarchy and operate from fixed bases (Chhokar 2007; Kanungo & Mendonca 1994).
Individualism Vs Collectivism (IND)	*Medium collectivist* orientation influenced by extended family, caste, religious and linguistic affiliations; Indians perceive themselves as being embedded in their groups and collectives as well as in their physical settings.	*Medium collectivist* orientation: family and group attainments take precedence over work outcomes (Sharma 1984); Relatively high collectivism (Chhokar 2007)
Femininity vs. Masculinity (MAS)	*Medium masculinity* reflected in moderate levels of assertiveness. Interest in acquiring money and things, relative to affiliation and social relationships.	*Relative low masculinity* implies that employees orientate towards more personalised relationships rather than towards performance (Kanungo & Mendonca 1994).
Time orientation (TO)	*Strong long-term TO* as opposed to short-term horizons consistent with cultural respect for past traditions and widespread belief in supernatural forces controlling trans - generational, future outcomes of events.	*Short-term* as well as a long term TO due to pressure of liberalisation of economic policies. Immediate survival has taken on a stronger emphasis (Budhwar 2003).

[Developed for this study from Budhwar (2003), Chhokar (2007), Hofstede (2005), Kanungo & Mendonca (1994) and Sharma 1984]

Chhokar's (2007) findings supported Kanungo and Mendonca's score of higher power distance and suggested a relatively high collectivism. Chhokar's ratings did not support Kanungo and Mendonca in regard to uncertainty avoidance, but rather confirmed the rating of Hofstede of low uncertainty avoidance. The generality of these findings to India with its heterogeneous culture offers a foundational understanding only. With India's socio-cultural specificity, diversity and complexity (Budhwar 2003; Chhokar 2007), it is not surprising that different studies have identified different ratings and it is thus difficult

to conclude that any one study could capture one culture for India, given its complexity of languages, castes and religions.

Other empirical studies by Indian authors have found weaker or more unstable links to these dimensions (Amba-Rao et al. 2000; Sparrow & Budhwar 1997). Thus it is important to consider Kerala as a separate sub culture in answering the relevant two research questions:

R I 1 *What is the cultural context within Kerala?*

R I 1.1 What are the implications of the cultural context on development of MLCs?

2.2.3.2 Impact of Indian culture on organisations and managerial leadership (ML)

Indian cultural issues may impact on political influence on organisations, work culture and ML style and these are discussed below.

Political influence

Culture is subject to a number of contextual influences and amongst these are governmental and political influences (Sackmann & Phillips 2004). There are historical, religious, and cultural reasons why people accept a type of political, governmental, or legal system (Marquerdt & Sofo 1999). In India governments, at federal and state levels, have been discredited accused of using caste, community and religious divisions for self serving actions (Chhokar 2001). Corruption is ingrained in the political and government system (Heitzman & Worden 1995; Hooker 2009). Politicians are able to wield a great deal of influence in India "where there is considerable political meddling in almost all walks of life" (Chhokar 2001 p16). This includes both private and public sector organisations.

Work culture

Despite the last decades' spectacular growth in India's burgeoning information and communication technology industry (Stephen 2005), India per se is not credited with having a strong work culture (Pattanayak & Gupta 2002). Rather, an 'aram' culture, meaning rest and relaxation, or social loafing (Sinha & Kanungo 1997) has been the Indian tradition. This may be because "work as such was not given any dignified status in the Indian society" (Joseph 2004 p191). The basic philosophy as part of Indian culture was that of a caste assigned duty without regard to reward (Joseph 2004).

There are several reasons for this apparent contradiction between growth and work ethic and these are discussed below.

Distinct pressures in the Indian work context have been created by India's recent economic growth; the introduction of MNCs and the huge increase in business process outsourcing (BPO) companies. This pressure has been caused by the clash between a western work culture, typified by the desire to maximise production and a strong commitment to work (Joseph 2004), and that of traditional Indian values (Fisher, Shiroleacute & Bhupatkar 2001). Sinha and Kanungo (1997) suggest that managers selectively use different styles depending on the context.

Whilst this may be true for the private sector in India, particularly in regard to organisations with greatest exposure to western ideology such as MNCs and BPOs, Amba-Rao et al's (2000) findings indicate several clear differences between the private and public sector in India. Thus it can be postulated that although a greater clash of values may be occurring in the private sector, the traditional work ethic of India remains prevalent in the public sector (Joseph 2004). The interview schedule for this study will contain a section on the impact of culture and work culture.

Indian managerial leadership style

Relatively little has been written on describing aspects of Indian management style (Amba-Rao et al. 2000; Budhwar & Khatri 2001; Gupta 2004a; Virmani 2004) or Indian leadership (Chhokar 2007). Studies of Indian managers, to date, have focused on work goal values of Indian managers (Chatterjee & Pearson 2000); the relationship of managers to quality (Tan & Khoo 2002); ethical stance of managers (Fisher, Shiroleacute & Bhupatkar 2001); managers' beliefs (Budhwar 2000); transformational leadership (Singh & Krishnan 2005)and management skills and senior management effectiveness (Analoui 1995). Several researchers (Budhwar 2003; Budhwar & Khatri 2001; Sharma 1984; Sinha 1994; Sinha & Kanungo 1997; Tayeb 1987) have identified contrasting characteristics of Indian managers from the private sector some of which are suggestive of a more nurturing and paternalistic leadership style while others are suggestive of a more autocratic and formal style. These are presented below in Table 2.4.

***Table 2.4**: Characteristics of private sector Indian managers identified from the literature*

• Resistant to change	• Less disciplined
• Less willing to delegate	• Modest and reserved
• Difficulty with accepting authority	• Paternalistic managerial style
• Task orientated	• Based on formal authority
• Autocratic	• Possessive about their subordinates
• Nurturing	• Charismatic
• Easily give way to superiors	• Concern about independent decisions

Developed for this study from Sharma (1984); Sinha (1994); *Sinha & Kanungo (1997); Tayeb (1987); Budhwar & Baruch (2003) and Budhwar & Khatri (2001)*

Chhokar's (2007) contribution to the GLOBE study has assisted in a better understanding of the Indian leadership style. Chhokar (2007 p984) described Indian managers as needing to be "proactive, morally principled, ideological…bold and assertive" and that they were expected to be role models. Chhokar (2007 p 1005) contends that leaders in India require "unique attributes, abilities and behaviours" whilst Sinha and Kunungo(Sinha & Kanungo) report on inconsistencies and contradictions in managerial behaviour. This may be the reason why such diverse and often contradictory characteristics as outlined were identified by researchers as outlined above in Table 2.4. Chhokar (2007) used the leadership dimensions from the GLOBE project to identify which were perceived to be the most important to Indian (organisational) leaders within India. These are listed below in Table 2.5. He found that the most effective leadership styles in India were charismatic and action orientated, autocratic and bureaucratic.

However given the heterogenous nature of India and the wide range of organisational and leadership practices within (Chhokar 2007), it still provides an incomplete view of all of India (Triandis 2004) and further work needs to be done in other states of India.

Table 2.5: *GLOBE top attributes perceived to be associated with effective leadership in India*

Attribute	
• Visionary (charismatic)	• Inspirational (charismatic)
• Integrity	• Decisive
• Administratively competent	• Team integrator
• Performance orientated	• Diplomatic

[Developed for this study from Chhokar (2007)]

In the next section, the sub culture under study - the state of Kerala, is presented.

2.2.4 Kerala culture

Regional cultures, such as Kerala culture, have arisen as a result of a unique combination of geographical, historical, political, language and religious forces (Oommen 1999; Pheng & Alfelor 2000). This section reviews the relevant literature which highlights variations in culture and political milieu that may impact on the study.

2.2.4.1 Kerala economic and social parameters

Kerala has a degree of homogeneity as it follows linguistic lines (Ramachandran 2004; Sen 2004). Kerala is positioned somewhat uniquely in terms of Indian states with one of the highest literacy rates in India. This has both historical and political roots as education in Kerala has been influenced by Christian missionary schooling (Ramachandran 2004). Christian schooling gained a foothold in Kerala after 1813 when English missionary activities were legitimised by the British East India Company and supported by the Maharaja of Travencore (Isaac 2005). The introduction of schooling was thus associated with Christian values (Van Der Veer 2001). This prevalence of Christian HE schooling continues in the state today with approximately 27 percent of UGC recognised colleges operated by Christian communities (UGC n.d).

Kerala ranks as the highest Indian state on the human development index (HDI) [a summary measure of three critical dimensions of well being – longevity, health & education, and social meaning] as well as first in educational and literacy and health rankings (State Planning Board 2008). As such Kerala holds the unique position of the only state in the world to rank (according to these human development parameters) alongside developed countries[2].

Kerala, through political and economic actions [known as the *Kerala model*], (Dreze & Sen 2004; Oommen 1999) has significantly narrowed the gap between backward and advanced regions in the state (Ramachandran 2004). The Kerala model is defined as a set of quality of life indicators, a set of wealth and resource redistribution programmes and a high level of political participation and activism (Franke & Chasin 2000). Kerala was the first government in the world to vote in a communist government by democratic election (Parameswaran 2000). Much of the growth of the state economically and educationally

[2]Only three developing countries (Sri Lanka, China and Costa Rica) also rate highly on the HDI (Parameswaran 2000)

at all levels, has resulted from a strong Marxist political party which held power from the late 1930's until early 2000 (Joseph 2004; Ramachandran 2004). This government was elected back into power in May 2006 (www.indian-elections.com/assembly-elections/kerala/). Kerala has become known as a unique case amongst developing countries as it has been able to achieve huge demographic transitions within the space of one generation (Ramachandran 2004), however concerns about the sustainability of this growth have been expressed (Oommen 1999). One other unique aspect of Kerala culture compared to the rest of India is the family structure in Kerala. This has been described as being placed between matriarchal and patriarchal extremes which results in gender equity in the state (Parayil 2000).

2.2.4.2 Impact of Kerala culture on organisations and ML

Despite there being a strong state identity little has been written specifically on the nature of Kerala culture as it impacts organisations. A synthesised summary of the comments from the literature is provided in Table 2.6.

Table 2.6: *Aspects of Kerala culture*

Component	Findings for Kerala
Work Culture	▪ Weaker work culture of India in general coupled with the militancy and power of unions in Kerala has resulted in retention of an 'old work culture' which is characterised by indifference to duty. ▪ The rigid caste system in Kerala is one of the main reasons for lack of development and resistance to a more dynamic work culture. ▪ Work culture typified by prevalence of white collar workers arriving late or leaving early and absenteeism, coupled with general lack of discipline and the failure of organisations to address these issues.
Motivation	▪ Persistence of cultural traits in favour of prestige and status remains strong. ▪ Typified by indifference to disciplined behaviour. ▪ The behavioural pattern of Keralites is oriented towards conspicuous consumption and a 'soft' attitude to work.
Political influence	▪ Among the states in India, Kerala is notorious for trade union militancy and organised labour has emerged as a dominant class with access to economic, social and political power. ▪ This has impacted on the high incidence of strikes in the state which are more prevalent in Kerala than elsewhere in the country.
Corruption	▪ Despite corruption being prevalent in Kerala, it is the least corrupt State in India based on 11 state public services.

[Developed for this study from Joseph (2004), Pylee (2004) Zachariah, Mathew and Rajan (2003), Suseelan (2008) and Transparency International India (2005)]

Whilst these studies go some way to identifying the impact of Kerala culture in state organisations there is much more research needed to better understand the impact of Kerala culture on organisation and ML.

Having considered Indian culture and specifically the sub culture of Kerala as it relates to this study, the second aspect of this study's context - the HES, is now described.

2.3 The Higher Education Sector (HES)

In this section, firstly the HES is defined and changes to the HES are described. Then a discussion on the global challenges facing the sector is presented. After establishing the current context of the sector, organisational (academic) culture is defined, the role of ML within HEIs, and particularly, the role of the HoD, is then discussed. The HES in India is described and the challenges for Indian HEIs are delineated. Finally the HES and HEIs in Kerala are discussed and organisational issues in Kerala HEIs are outlined.

2.3.1 HES defined

For the purposes of this study, only higher education (HE) will be considered. HEIs include universities, colleges and professional schools. There is no simple definition of the HES as different countries have different terminologies, the sector is facing many changes and has developed differently in different countries worldwide post World War Two (Altbach 2002; Kyvik 2004; Young 2006). The vast majority of HEIs around the world fall into the public sector as tertiary education is considered to be for the public good (Brunetto 2001; Henkel 2005). Governments will thus continue to be the major funders of post secondary education, however substantial growth worldwide is occurring in the private sectors (Altbach 2002; Economist 2005; St. George 2006) fuelled by global challenges - addressed in section 2.3.4. The HES is a developing area, crucial to a country's economic development and being shaped by a number of global factors.

2.3.2 Changes in the HES

Within recent decades most western countries have seen significant changes affecting the HES; notably HE becoming international as globalisation and technological changes have impacted on the sector (Economist 2005). The HES is facing different demands from all its stakeholders - government, industry, and students (Mok 2003). Governments have responded to global and technological challenges, which have driven the need for a more

highly trained workforce. This has resulted in the creation of strategies to enable significant percentages of the population to access different types of HE (Altbach 2002; Mok 2003; Morrison 2003; Young 2006). There is an identified requirement for greater accountability and external scrutiny in all public services, including HEIs (Brunetto 2001; Meyer 2002; Mok 1999, 2003; Nauriyal & Bhalla 2004; Thomas & Harris 2000).

In 1998 and 2000, two international events, *The world declaration on higher education* from UNESCO and a task force of the World Bank and UNESCO members both determined that HE was being neglected (Tilak 2003). In addition, there has been a move to international standards and accreditation, particularly driven by the GATT protocol arising from the Doha round of the WTO in 2001, where educational services were deemed a tradable commodity (Singh 2006; Stella & Gnanam 2004).

It is now no longer possible to consider the customer base of HEIs in the traditional light of previous decades (Chipman 2000; Lomas 2007; Morrison 2003) due to such issues as: the movement to describe students, as 'customers' of the HEIs (Lawrence & McCollough 2001), the greater emphasis on the voice of students, parent and employers in policy making (Henkel 2000) and the surge in technological development. Technological development has fueled new disciplines and areas of scientific inquiry which can result in increasing numbers of people returning to HE at any stage in their lives (Young 2006), thus changing the composition of the student body.

All of these changes to the environment in which HEIs are operating, are resulting in the need for HEIs to reconsider the way in which they operate and are structured (Billing 1998; Duke 2001; Kothari & Handscombe 2007).

2.3.3 Global challenges for the HES

A consideration of the HES is not complete without looking at four key global challenges that of: the development of the knowledge economy; the continued impact of globalisation; the increasing trend of managerialism within the HES; and the increasing demand for accreditation. Each of these issues is addressed in the following sections.

2.3.3.1 Development of the knowledge economy

One of the key global challenges affecting HEIs around the world is that of the knowledge economy (Chipman 2000; Dang & Umemoto 2009; Schreyögg & Geiger

2007). Approximately half of the GDP in major OECD countries is from knowledge based sources and this will also be applicable to India in the upcoming years (Nauriyal & Bhalla 2004). Ireland and Hitt (1999) suggested that there is an urgency to the development of knowledge capital for Asian societies and that knowledge workers are the primary source of growth for nations including India (St. George 2006). In recognising this, many countries are injecting public money into the HES (Wood & Meek 2002) to improve both the structure and content of HEIs (St. George 2006).

2.3.3.2 International competition and globalisation

Providers of HE are now faced with a more competitive and global world with scarcer resources and increasing demands and changing expectations from stakeholders (Meyer 2002; Mok 1999, 2003; Newby 2000). As well, high end universities are becoming global brands and developing international branch campuses (Chatterjee 2001; Chipman 2000). However, HEIs in India have little if any experience in facing competition and adapting to a global competitive environment (Venkateswaran 2000) and Singh (2006) considers globalisation to be one of the greatest challenges to HEIs in India

2.3.3.3 Managerialism

Managerialism is defined as the process of adoption of private sector management tools within public sector organisations (Brunetto 2001). In Western public services, within the past decade, there has been a major push for reform (Mok 2003) with individual and organisational competencies having been seen as a means of achieving more efficient performance, facilitating cultural change; and as a mechanism to move towards a modernised, effective and responsive government (Horton 2000b). Indeed, it can be argued that this push for effective public services will necessitate new competencies in ML within HEIs.

Managerialism and HEIs

Managerialism in HEIs has been well documented (Barry, Chandler & Clark 2001; Deem 2004; Duke 2001; Erwee et al. 2002; Holmes & McElwee 1995; McAuley 2003; Meyer 2002; Mok 1999; Moreland & Clark 1998; Murphy 1995; Yielder & Codling 2004) with complex historical, political, and social antecedents accounting for managerialism in different parts of the world (Rindfleish 2003). Managerialism has had a profound impact on western HEIs over the past decade (Parker & Jary 1995; Santiago et al. 2006) with a

developing tension between traditional forms of governance [collegiality] and new forms of governance [corporatism] (Altbach 2002; Chipman 2000; Crebert 2000; Duke 2001; Mercer 2009; Mok 2003; Srikanthan & Dalrymple 2002). Amongst many other influences managerialism has thus contributed to a process of converting professionals to managers (Brunetto 2001), though as Newby (2000) notes, many members of the academic profession have found it difficult to adjust.

As the public sector "hallmarks of cost-effectiveness and doing more with less were transferred into the higher education sector" (Crebert 2000 p73) in Australia, a significant impact has been felt on the academic culture, planning and administration, measurement of output and productivity, and accountability (Fulop & Rosier 1995; Winter & Sarros 2002). Similar observations have been made in the UK and in South Africa (Barry, Chandler & Clark 2001; Ntshoe 2004). Indeed, restructuring and reengineering many facets of HE are seen as a constant process in academic life (Srivastava 1999).

To date, the international literature has been largely restricted to the impact of managerialism on HEIs within the western world. Though managerialism has most strongly influenced public sector organisations (including HEIs) in UK, USA Australia, and to some degree in Portugal (Santiago et al. 2006), a study by Mok (1999) describes the effect of managerialism on Chinese HEIs in Hong Kong. Whether managerialism is an organisational factor within Kerala HEIs will be explored in:

R I 2*: What is the organisational context of Kerala's HEIs?*

2.3.3.4 Accreditation

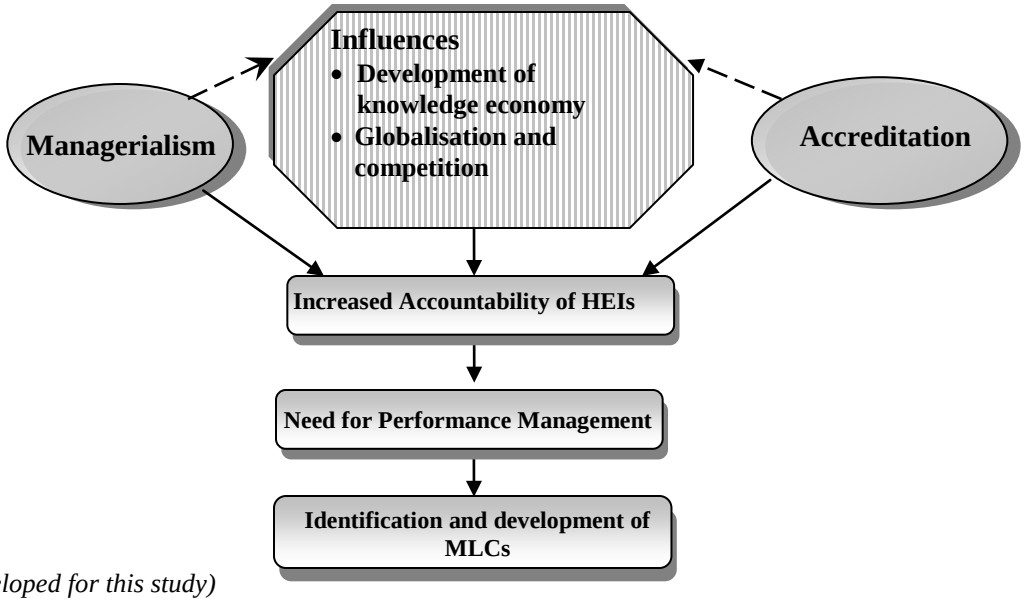
Many developed countries have been using assessment and accreditation of HE to ensure quality and pursue organisational and academic excellence (Chauhan 2004; Eaton 2003). The matter of ensuring quality and accreditation has received less attention within the developing economies, including India (Chauhan 2004). Indeed with the liberalisation of trade in services, including HE, through the GATT protocol of 2001 (Stella & Gnanam 2004), the issue has become a global one with the need to develop international standards in order to facilitate a comparison of HEIs worldwide (Chauhan 2004).

2.3.3.5 Key challenges and their impact

Global trends of managerialism and the push for international accreditation, the development of the knowledge society, increasing competition and globalisation have all

contributed to the call for HEIs to have greater accountability, though not all nations have responded to these issues in the same way (Mok 2003). Thus the literature provides a strong case for improvement and greater accountability in HEIs. Part of this accountability may be the development of performance management systems (Abraham et al. 2001). For successful performance management systems to operate in HEIs there needs to be a clear identification of MLCs at all levels of leadership including that of the HoD (Erwee et al. 2002). This relationship is outlined in Figure 2.2.

Figure 2.2: *Relationship of contextual factors to the identification of MLCs*



(*Developed for this study)*

Having considered the HES, the focus of the next section is on HEIs organisational culture.

2.3.4 HEIs: Organisational (academic) culture

HEIs are typified as having a complex organisational structure, highly bureaucratic processes and strong sub-cultures (Kothari & Handscombe 2007). In addition HEIs have many stakeholders who have varying power and can make conflicting demands on the institution (Fulop & Rosier 1995). Since organisational culture is a social control system that shapes an individual's behaviour (O'Reilly 1991); organisational culture may have a significant influence on the required MLCs considered in this study.

2.3.4.1 Difficulties defining organisational culture

There are many definitions of organisational culture in the literature (Brunetto 2001; Dedoussis 2004; Lankford & Mintu-Wimsatt 1999; Lok & Crawford 2004) and a precise understanding of the role of organisational culture is made difficult due to the lack of agreement amongst researchers (Lim 1995). Indeed, Ogbanna and Wilkinson (2003) describe the controversy as creating divisions amongst academics and also between academics and practitioners. Additionally, the debate is further complicated as Hofstede (2005) asserts different individuals may not hold similar views or give similar responses about their organisations practices, in part because of differing dimensions, including alienation – where perceptions are all negative; commitment to work; personal need for achievement; personal masculinity; orderliness; and authoritarianism. Mathew (2007) suggests that organisational culture has had differing and, at times, conflicting definitions. For the purposes of this study (as indicated in Chapter one), the concept organisational culture as modified from Schein (1997 p28) will be used to refer to

> "the shared, or *taken-for-granted* assumptions held by the members of an organisation, derived from prior experiences, learning, assumptions, beliefs and preoccupations"

Dickson, Aditya and Chokkar (2000 p454) suggest that "the nature of the industry influences organisational culture through the constraints it places on the behaviour of all persons in the organisation". Within HEIs, organisational culture may be impacted both by public sector culture as well as by the nature of the 'industry', that is, academia. Some research has indicated that public sector employees have different values and motives compared with private sector employees (Perry 1993). Budhwar and Boyne (2004) contend that managerial functions may be generic across private and public sectors. Other authors support the fact that the contexts of the different sectors are unique (Horton 2000b; New 1996). Indeed Deem (2004) suggests that it is not sufficient to consider academics as public service professionals; and that the nature of the industry (i.e. academia) means that managing academic knowledge work is substantially different.

HEIs have been characterised as public sector bureaucracies, and or as corporations following private sector influences (Middlehurst, Goreham & Woodfield 2009). Philips et al (2007) contest that academic culture is unique and complex, citing a number of specific factors to support this. One is the degree of flexibility for academics in the form

of creativity, individuality and diversity, and also high levels of participation in decision making as the academic culture is traditionally consensus-based. Henkel (2000) suggests that academic culture is a highly specialised system dependent on self regulation. Also, academic culture can be typified by loyalty to the discipline rather than to the organisation as such (Deem 2004; Philips et al. 2007). Academic culture has been described as a variety of small worlds or 'academic tribes', each with different values and norms (Hakala & Ylijoki 2001). Academic culture can thus be viewed as a professional public sector culture with greater importance being placed on the professional authority of the academics than any formal hierarchal authority (Brunetto 2001).

With many HEIs attempting to balance academic cultures with a more corporate approach and structure, they can be considered to have a hybrid identity (Foreman & Whetten 2002; Winter 2009). Mouwen (2000) considers that academic and managerial cultures can be successfully fused, however there is an expressed concern in the literature as to how "effectively market forces and the public good aspects of higher education can be balanced" (Santiago et al. 2006 p 219). HEIs thus have a unique and complex organisational culture which is postulated to have an impact on the MLCs required by HoDs. This issue must hence be addressed in this study as part of the organisational context of Kerala HEIs.

2.3.4.2 Cultural dimensions and organisational culture

Three dimensions of national culture, in particular, can impact on organisations and thus the ML style within them. The three dimensions are power distance, collectivism and uncertainty avoidance (Hofstede 1994) and these are summarised in Table 2.7 below.

The cultural dimension of power distance reflects the acceptance by members of a society of unequal distributions of power and rewards and this can be demonstrated by different distributions of power in organisational hierarchies (Tata & Prasad 1998). Uncertainty avoidance reflects the need to avoid ambiguous situations, and thus the extent of development of explicit rules and adhering to regulations (Tata & Prasad 1998). Collectivistic cultures are reflected in organisations by the emphasis of the importance of the group and/or organisation interests ahead of individual goals (Walumbwa & Lawler 2003). Collectivistic societies tend to be more hierarchical (Hofstede 2005) and organisations thus have greater numbers of reporting lines in organisations. Collectivistic

cultures emphasis co-operation, endurance, persistence and obedience (Walumbwa & Lawler 2003) and these are reflected in the organisational context. Organisations from collectivistic cultures tend to have a long-term goal orientation (Hofstede 2005).

Table 2.7: *Organisational implications based on Hofstede's four cultural dimensions*

Low Power Distance Hierarchy in organisations constitutes an inequality of roles, established for convenience. Decentralisation is popular. Subordinates expect to be consulted. The ideal boss is a resourceful democrat. *Collectivist* Relationship between employer and employer and employee is perceived in moral terms, like a family link. Management is management of groups. Relationship prevails over task. *Low Uncertainty Avoidance* There should not be more rules than strictly necessary. Tolerance of deviant ideas and behaviour Motivation by achievement.	*High Power Distance* Hierarchy in organisation reflects an existential inequality between higher ups and lower downs. Centralisation is popular Subordinates expect to be told what to do. The ideal boss is a benevolent autocrat or good father . *Individualist* Relationship between employer and employee is a contract supposed to be based on mutual advantage. Management is management of individuals. Tasks prevails over relationship. *High Uncertainty Avoidance* Emotional need for rules, even if these will never work. Suppression of deviant ideas and behaviour. Motivation by security.

[Source: Lagrosen (2003 p478)]

2.3.5 Managerial leadership (ML) in HEIs

The roles and nature of leaders in HEIs have become recent areas of research (Bush 2005; English 2005; Kekäle 2003; Middlehurst, Goreham & Woodfield 2009; Santiago et al. 2006; Winter 2009) and according to Temple and Ylitalo (2009 p277) leaders are "facing new challenges globally" particularly those listed above in section 2.3.3. Indeed, Osseo-Asare, Longbottom and Chourides (2007 p 543) argue that ML is essential for HEIs if they are to provide "the skilled manpower required for economic and social development in the twenty-first century".

There is an overall agreement amongst researchers that leading in HEIs is both complex and multidimensional (Filan & Seagren 2003). Petrov (2006) describes leadership in HE as ambiguous and contested and this may well be because there are two schools of thought in regard to ML in HEIs. The first is that the general principles of leadership and management can be applied to all organisational settings (Ramsden 1998); whilst the other school of thought advocates that leadership in HE is a separate competency (Middlehurst, Goreham & Woodfield 2009). While it has been suggested that over time

there has been a realignment of leadership roles (Middlehurst, Goreham & Woodfield 2009), Temple and Ylitalo (2009 p 278) suggest that leadership needs to move to "integrating the strengths of collegial traditions to more post-modern ideas of collaborative and inclusive leadership". Despite the complexity discussed above Yielder and Codling (2004 p 319) have attempted to describe ML as consisting of three aspects authority level, context and level of formalisation presented in Table 2.8.

***Table 2.8**: Aspects of ML in HEIs*

Authority level based on:	**Leadership context**	**Formalisation**
Position in hierarchy Job responsibilities Control Delegated Authority, and Power.	Corporate	Appointed from above Leadership is vested in the position (not the person), and Person may or may not have capabilities to perform the function.

[Adapted from Yielder & Codling (2004 p 322)]

Middlehurst, Goreham and Woodfield (2009 p 325) argue that though there has been some evidence in studies that there is a distinctiveness to leadership in HE "none has provided solid answers." They go onto to suggest the value of a context sensitive approach to understanding leadership in HEIs. Thus the position taken in this study is to consider ML within the context of the HEI.

2.3.5.1 Differentiating academic leadership from managerial leadership

Managerial leadership needs to be differentiated from academic leadership which can be defined as specific activities directed towards setting academic direction and priorities; and includes teaching, research, and consultation with students (Harman 2002) as well as "decision-making about academic programmes, course delivery, content and scheduling (Yielder & Codling 2004 p 319). Because of the specificity of these activities academic leadership and managerial leadership can be separated from each other according to context (Belbin 1997; Yielder & Codling 2004). Thus as ML is the focus of this study, academic leadership can be considered to be a job specific competency (JSC) [which is defined in section 3.5.2.5].

In considering ML within HEIs a further issue is whether there is a difference in ML expectations depending on the varying organisational levels. This topic is explored in the next section.

2.3.5.2 ML and organisational levels in HEIs

Numerous authors have commented on the role of leadership at different levels suggesting that leadership varies depending on the level of the leader in the organisation. For example, Bateman & Snell (2003) suggest that leadership at a supervisory level is more about guidance on day to day matters, whilst senior managers deliver strategic leadership which gives purpose and meaning to organisations. Den Hartog et al (1999) support this view suggesting that power and influence are more characterised at upper levels whilst operational skills and social interaction is more emphasised at middle level leadership positions. Despite this distinction a number of leadership attributes from the GLOBE studies were found to be common or have little difference across leadership levels i.e. trustworthy, communicative and calm, inspirational, rational and confidence builder. Mintzberg (1980) argues that managers have ten roles however the focus of each of these roles may change depending on the organisational level. Quinn et al (2003 p 19) also consider the issue of levels of management and maintain that ML are "not necessarily tied to a particular organisational hierarchy".

HEIs vary across states and countries but typically, for the core business of academia, there are a number of different leadership levels. These may include senior positions such as Vice Chancellors, Pro Vice Chancellors, Deans/Heads of Schools, and middle management positions (i.e. positions that report to senior management but also have staff reporting to them) such as HoDs (Deem 2004). Leadership in HEIs is thus dispersed leadership, that is, leadership occurs at many levels in the organisation including leadership at HoD level; (Bolden, Petrov & Gosling 2008a; Mercer 2009; Pounder 2001). The HoD role at Kerala HEIs is one of direct supervision of academic and non-academic staff rather than a more senior ML role. Given the above discussion, then the position taken for this study is not a focus on the organisational level but rather an understanding of the MLCs that are needed to carry out the HoD ML role.

Middlehurst, Goreham and Woodfield (2009 p 319) maintain that outside of the formal hierarchy listed above there are different levels of leadership existing in HEIs including:

- '…Managerial leadership - exercised through formal leadership positions,
- Professional leadership - exercised through upholding professional standards and performing in functional roles,

- Intellectual and disciplinary leadership - extending the boundaries of knowledge and conceptual understanding,
- Personal leadership - based on credibility, charisma, expertise and other qualities,
- Team leadership - developed through collaborative agendas and working practices, and
- Political leadership - building coalitions, networks and social capital."

All of which suggest that leadership irrespective of formal level is a complex phenomenon in HEIs and it is thus important to consider ML at HoD level.

2.3.5.3 Head of Departments (HoDs) in HEIs

Studies looking at the role of the HoD (Bryman 2007; Hancock & Hellawell 2003; Hellawell & Hancock 2001; Kekäle 1999; Sarros, Gmelch & Tanewski 1997; Smith 2002, 2005) have found distinctive challenges "trying to juggle teaching, research and administration (Mercer 2009 p 350) as well as tension in dealing with both senior management and academics and the impact of managerialism (Santiago et al. 2006). Santiago et al's (2006 p 243) study in Portuguese universities suggested that HoDs suffered from various degrees of "ambiguity, contradiction and conflictedness". This ambiguity in the HoD role can be seen as one of dual identity - a) being a managerial leader and b) as an academic colleague (Gosling, Bolden & Petrov 2009; Jackson 1999).

Deem's (2004) study included interviews of HoDs at 16 UK HEIs and identified difficulties with the HoD role including increasing student numbers, managing the dual demands of teaching and research, high workloads for HoDs and their staff, dealing with difficult people, a general shortage of resources and budget issues. The HoD role has been described as one of managing conflicts and tensions and balancing conflicting demands (Deem 2004; Henkel 2000). According to Henkel (2000) the conflicting demands fall into three categories:

a) academic versus administrative work,
b) dealing with external demands and crises versus acting strategically, and
c) developing individuals versus managing change in the department.

Henkel (2000 p249) summarised the position of academic managers as having a "wide range of meanings for individuals, depending upon their own existing academic identities

and their institutional environment". Winter (2009 p 126) supports this arguing that in today's western HEIs academic managers need to be guide by the following principles:

> "(1) academic managers have the legitimate right to manage other academics as subordinate employees in the interests of organisational efficiency and improved productivity; and
> (2) the institution's central character, continuity and success rests squarely on its corporate values and market-based rationality."

Whether these principles apply to the HoD role in Kerala will be considered in this study.

Hancock and Helliwell's (2003) UK study found that the HoD's role was complex and could be described as that of an academic middle manager. Kallenberg argues that an academic middle manager has to manage several positions, processes and interests and:

> - "is the linking pin between 'top-down' and 'bottom-up' processes, and
> -has to find a balance between the teaching staff and the administrators, between education and research, and finally, between hierarchy and collegiality' (Kallenberg 2007 p 22).

In doing so the HoD has to balance "between change (vision and inspiration) and stability (planning and control) (walking)… a fine line, seeking both constructive debate, and consensus" (Kallenberg 2007 p 24).

Spendlove's (2007) research indicated that the HEIs in his study had little or no organisational strategy for either identifying or developing leadership skills. Temple and Ylitalo (2009) suggest that often an academic leadership position is considered as a temporary role. With increasing scrutiny and criticism of public servants, the motivation to serve in a leadership role at HEIs, with no extrinsic rewards, may weaken or not be present at all (Hoppe 2003). Further, Wolverton, Ackerman and Holt (2005) maintain that HEIs exhibit faulty reasoning in selecting HoDs - assuming that being a good faculty member will make the person at least adequate in a ML role.

Thus HoDs operate in a difficult environment and the challenge is to understand their own position, the demands being placed on them and also to demonstrate the MLCs to perform successfully in the role.

In considering the role of the HoD, Thompson and Harrison's (2002) single case study at a UK university identified MLCs needed by HoDs as: managing resources, managing information, controlling costs and enhancing value, managing people, managing yourself,

and managing personal emotions and stress. They found there was no clear understanding or consensus between HoDs, Deans and staff on the role of the HoD. While these results are useful they are limited to one case study and originate from a western country. Bryman (2007 p 3) and Kallenburg (2007) argue that studies on what middle managers actually do in HEIs have been minimal and or not very recent. The literature thus shows a clear need to further investigate MLCs of HoDs in HEIs.

Having considered the industry sector from a global perspective, it is pertinent that the HES in India and in Kerala be considered and this is the focus of the following sections.

2.3.6 The HES in India

The HES in India has been described as being in a deep crisis (Pylee 1999), in turmoil (Tilak 2003) and anachronistic (Kulandalaiswarmy 2005). HEIs in India are facing issues to do with quantity and quality (Amba-Rao et al. 2000; Overland 2000). The decline in standards has been suggested as a result of the growth of numbers of HEIs in the past decades (Munshi 2004) resulting in too few resources for organisations to function to the national and international standards proposed by the Association of Indian Universities (AIU), the sector's lead body (Pylee 1999).

2.3.6.1 Challenges for Indian HEIs

Undoubtedly, the management of HEI administration is a complex task in India and Negi (2004 p xiii) defines the management of HEIs as "one of the biggest challenges" facing the country. These challenges can be identified as external and internal.

External Challenges

A number of authors have identified external factors that impact on HEIs - political interference, funding issues, National Assessment and Accreditation Council (NACC) accreditation and performance evaluation, the uptake of technology as well as the need to benchmark against other Asian countries and these have been summarised below in Table 2.9. The interview schedule in this study will thus contain a section on challenges facing HEIs.

Table 2.9: *External challenges to Indian HEIs*

Challenge	Source	Synopsis
Political interference	Negi (2004) Gopalan (2001) Pylee(1999)	Intervention of ruling party politicians in HR issues such as appointments and promotions. The influence of state politics has resulted in political support groups within HEIs which act as pressure groups, interfering with the application of policies and procedures.
Funding Issues	Kothari,(2002)	The amount of public funding from both federal and state sources needs to be significantly increased.
NACC accreditation and performance evaluation	Gopalan (2004), Gosai (2004). Saminadhan (2001) Doraisamy (2006)	Established in 1994 following the impetus of the GATT discussions from the Doha round of the WTO (Section 2.3.4.4). The concept of accreditation and assessment and the implied need for reflection and enhancement of organisational performance is relatively recent to the Indian situation having been in place for only a decade. The UGC is attempting to improve the quality of HE by linking funding to performance
Technology uptake and e-learning	Ghosh M & Ghosh (2009) Bhattacharya & Sharma (2007)	The need to leverage new technologies to maximise student learning is required. There is still improvement needed in the uptake of e-learning.
Benchmarking against other Asian countries	(Chatterjee 2001; St. George 2006).	The need to benchmark against other Asain countries noticeably Singapore, Malaysia and Hong Kong (China) where there is reform in the HES and an adoption of a more entrepreneurial culture.

(Developed for this study from the literature cited above)

Internal challenges

A number of internal challenges have been identified from the literature which may impact on the MLCs required of HoDs. These can be categorised as management structure, mis- administration, leadership issues; lack of HR system; and poor work culture. Each are discussed below

Management Structure, Mis- administration and leadership

The management structure of most Indian HEIs can be characterised by: a lack of mechanisms needed to improve the efficiency and effectiveness of the management of the organisation (Negi 2004); failure to identify priorities; weak HR systems (see below); and ineffective inter and intra departmental co-ordination (Gopalan 2001). Indeed there is an "urgent need to introduce professionalism in the functioning of university and college management" (Kurup 2006 p8) in order to meet the global challenges as they impact on the HES in India (described in section 2.3.3). There also exists a 'mis- administration' e.g. irregularities and violations of rules and mis- appropriation of funds (Negi 2004).

These factors either fall into the context of the organisation (weak HRM) or need for identification of the MLCs needed for middle managers (e.g. priority setting, co-

ordination; ethical behaviour). However, with reported poor performance, absenteeism, lack of will and low morale in the faculty (Powar 2001; Pylee 1999), the need for ML skills of HoDs is paramount as one of the key issues for HEIs as they strive to improve management (Munshi 2004).

Lack of Human Resource Management (HRM)

The higher education HRM system is characterised by an absence of adequate personnel policies, resulting in outdated practices and inadequate selection of staff (Munshi 2004; Rao & Das 2004). The following elements have been reported as lacking, or in need of substantial improvement, within the Indian HES:

- manpower planning
- recruitment and selection
- induction programme
- performance appraisal, and
- training and development (Faruqui & Qureshi 1999; Pylee 1999; Rao & Das 2004).

The interview schedule in this study will contain a section on HRM.

Poor work culture and lack of performance evaluation

Work culture in Indian HEIs has been described as static and rigid with a lack of innovation and unwillingness to be flexible or adaptable (Gupta 2004b). Recent pressure from stakeholders has resulted in HEIs recognising the need for evaluation of performance, both organisationally and individually (Sodha & Srivastava 2004). However it is difficult for HEIs to determine which managers and faculty need to be evaluated if individual competences have not been identified. Indeed, Indian HEIs are reported to pay lip service to performance appraisals and both performers and non-performers are considered for promotion with length of service being the prime determinant for selection (Rao & Das 2004), rather than determining the applicants competency for the position.

In reflecting on these internal and external challenges there appears to be a gap in the research literature as to what MLCs may be required by HoDs to successfully meet the challenges of their HEIs. Thus, the interview schedule in this study will contain questions on work culture and performance evaluation.

Suggested actions to meet internal challenges: the way forward

Many authors have commented on directions and recommendations for the development of HEIs and these include: the development of a distinct work culture (Negi 2004); independence and transparency (Wani, Rethman & Masood 2000); delineation of the roles tasks and nature of responsibilities (Sarup 2004); introduction of total quality management (TQM) (Tulsi 1999); management training (Pylee 2004); performance appraisals and introduction of appropriate HRM systems (Gopalan 2001). However by far the most commented on improvement is that of the need for institutions to introduce *modern management trends* (Faruqui & Qureshi 1999; Negi 2004; Rao & Das 2004; Saha 2004). The positions of these authors are summarised in Table 2.10.

Table 2.10: *Summary of organisational improvements identified for Indian HEIs*

Author	Chebolu (2005)	Faruqui and Qureshi (1999)	Gopalan2001)	Joshi (1998)	Nauriyal and Bhalla (2004)	Negi (2004)	Pylee (1999)	Rao and Das (2004)	Saha (2004)	Sarup (2004)	Tulsi (1999)	Wani and Masood (2000)	**Total**
Work culture						x							1
Performance appraisal system			x										1
Transparency												x	1
Independence/ Autonomy				x	x							x	3
Delineation of roles and tasks										x			1
TQM											x		1
HRM system			x										1
Change management	x				x								2
Management training							x						1
Improved management		x	x	x	x	x		x	x			x	8

[Developed for this study from Association of Indian Universities publications (1999-2004)]

It should be noted that the challenges identified by the above authors have not emerged from research per se but rather from their own experience within Indian HEIs. There is a clear gap in the literature in regard to the required MLCs of HoDs to assist them in meeting challenges in HEIs. The interview schedule for this study will thus contain a section on perceived problems and improvements needed within HEIs.

Having considered the broader national issues impacting on India HEIs, a consideration of Kerala HEIs is presented in the following section.

2.3.6.2 Kerala HES

The *Economic Review* of 2008 highlights several deficiencies in Kerala HE including: outdated courses syllabi; an inability to keep pace with academic advancement either within or without of the country; little original research; poor infrastructure; and inability to align course with job markets with the rapid increase in the number of courses (State Planning Board 2008). State politicians are working to provide a vision for world class HE in Kerala (Krishnakumar 2006a, 2006b; Staff Reporter 2006b).

Indeed, although the Kerala state government spends more proportionally on education than the combined totals of other states (Ramachandran 2004) there is an absence of centres of excellence in HE and according to Oommen (1999 p xxv) "has not produced even above average universities". In a study on e-learning in India none of the HEIs in Kerala were identified as leading HEIs in the field (Bhattacharya & Sharma 2007). The Kerala Education Minister in June 2006 acknowledged that one of the top concerns was the falling standards of HE, with Kerala ranked in the 18th or 19th place in all India rankings (Mahadevan 2006). There are only four, of the 122 UGC accredited universities in India, located in Kerala (Krishnakumar 2006a). However one university the Cochin University of Science and Technology (CUSAT) in 2009 is listed in the top 25 Indian universities (Prathap & Gupta 2009).

The state government intends to set up a *Higher Education Council* with the objective of looking at HE in Kerala. In taking all of these issues into account, the *State-wise Analysis of Accreditation Reports –Kerala* summarises the current situation as

> "with the new policy of liberalisation, the HES in the country is growing very quickly. There is a state of flux in HE due to the fast growth. This is natural, for any growing sector first leads to a state of instability (however) a dynamic equilibrium can be restored in a large sphere of activity like HE only through a careful formulation of new policy initiatives".

The suggested new policy initiatives need not only to consider the educational quality outcomes but need also to include the concerns about managerial leadership in Kerala HEIs as suggested by Pulparampil (1995 p355)

Since January 2003 the Government of Kerala has been committed to the improvement of employees, including those from HEIs, through training. This is being delivered through

the Institute of Management in Government (IMG) [Trivandrum] which is the apex training institute in the state (Surendran, Nirmala Kumarai & Jayakumar 2006) and is available to train staff from Kerala's HEIs.

2.3.6.3 HEIs in Kerala

HEIs in India are governed by the UGC and comes under state statutes (Ummerkutty, Stella & Shyamasundar 2004). There are eight universities in Kerala and all are state funded and based on an affiliating system of colleges (Powar 2001), however only four universities are accredited, as well as only 61 of the more than 290 affiliated colleges (Ummerkutty, Stella & Shyamasundar 2004). The affiliating college system is a key feature of universities in Kerala, following an all India pattern (Menon 2003). Affiliated colleges can be either government or private, and the private colleges can be separated into aided or unaided (www.kerala.gov.in/dept_collegiate).

There has been a huge growth in private colleges (specifically aimed at the engineering and medical professions) since 2000 (www.kerala.gov.in/dept_collegiate). This growth has resulted in difficulties with the government's ability to monitor and control quality. The recent emphasis on commercialisation of education, is alleged to be at the expense of providing places for economically weaker students within private colleges (Mathew 2006). This controversy has resulted in a political move to enact a law to limit the amount of places to be offered in private colleges which attract higher tuition fees (Special Correspondent 2006a). This in turn has caused concern as many of the private colleges are run by minority ethnic groups and there is some fear that this restriction is focussed on religious lines (Mathew 2006). Another recent issue is the number of places set aside for reservation of identified minority groups and castes. This has led to allegations about corruption occurring within self financing professional college management (Staff Reporter 2006a).

The traditional command-type of relationship exists between the university and its affiliates in Kerala (Ummerkutty, Stella & Shyamasundar 2004). There is currently a nation wide push from the UGC for autonomy of identified colleges meeting certain criteria, on the basis that autonomy will impact positively on the quality of HE. However, none of the 400 autonomous colleges currently functioning in India are located in Kerala (Naha 2005). Six colleges in Kerala have been identified by the UGC for

autonomy (Naha 2005; www.ugc.ac.in), including two of the case organisations in this study. The Kerala state government is aiming to introduce autonomy to these colleges and has proposed an amendment of the *University Act* (Naha 2005). Given the importance of the Kerala HEI to the state, it is imperative that further research into HEIs performance be conducted. Having described Kerala HEIs, organisational and management issues at Kerala HEIs are addressed in the next two sections.

Organisational issues at Kerala HEIs

Whilst some organisational issues in Kerala colleges have been identified by Pulparampil (1995) including a lack of: motivation; HR functions; professional competencies; ML skills, there is a paucity of research on Kerala HEIs. HRM in the HES in Kerala have a highly centralised system for administration. The process of developing personnel has been described by Pulparampil (1995 p355) as "underdeveloped and not well organised". Pulparampil suggests that "instead of showing commitment to educational excellence, political and governmental leadership (in Kerala) has (followed) haphazard policies aimed at sectarian interest and adhocism" (1995 p350). Indeed the *State-wise Analysis of Accreditation Reports - Kerala* recommends urgent consideration by the state government on the sanctioning of select autonomous colleges (including the two in this study) to increase funding and to build up "a freethinking educational culture" (Ummerkutty, Stella & Shyamasundar 2004 p38).

2.4 Summary

In this chapter a review of the literature relevant to the context of this study, culture and industry sector - the HES, was discussed. A number of research gaps have been identified in relation to the environment that the HoDs are operating within. These have been presented as research issues in each of the relevant sections. In the next chapter, the third parent theory, that of MLCs, is addressed, and the immediate research area, research question and issues, and theoretical framework for the study are presented.

Chapter Three: Research Issues II

3.1. Introduction

The discussion in this chapter focuses initially on MLCs - the *content* (3.2) - firstly by considering ML, then competencies and then the *process* - MLD of this study. These three areas (including *context* in Chapters two) thus form the basis of the immediate research problem theory. Next, the immediate research problem area, MLCs of HoDs in Kerala HEIs is discussed (3.3) and the research question (3.4) is identified. A theoretical framework for the study is then presented (3.5). Finally, the research issues are delineated (3.6) before the chapter summary (3.7) is provided.

3.2 Managerial leadership competencies (MLCs)

The approach taken in this section is to firstly outline the debate surrounding the relationship between leadership and management and the impact of culture on ML before providing a definition of ML for this study. The issue of competencies is discussed and MLCs are defined. Some of the criticisms of use of competencies are also highlighted prior to considering the link between organisational performance and MLCs. Finally, the *process* of MLD is presented.

3.2.1 From leadership versus management to managerial leadership

Understanding ML is a critical concept for this study. Despite extensive research and discussion spanning more than two decades (Yukl & Lepsinger 2005), there has been no ultimate agreement on leadership as part of management among researchers. A review of the literature pertinent to this study is presented in this section before providing a definition of ML.

3.2.1.1 Defining organisational leadership

Leadership has been described in terms of: individual traits, behaviours, influences, interaction patterns, role relationships, and as an administrative position (Yukl 2005). Alvesson and Deetz (2000) argue that a common definition of leadership is not practical, whilst Yukl (2005) suggests that researchers typically define leadership based on their own perspective and field of interest.

The theories of transformational and transactional leadership have received considerable attention in the literature (Bateman & Snell 2003; Boehnke et al. 2003; Den Hartog et al. 1999) and it may be that the former is the most popular current concept of leadership (Connell, Cross & Parry 2002). In brief, transformational leadership encompasses articulating a vision for the future and motivating followers beyond their self interests to consider the good of the organisation. As such both individuals and organisations can be positively transformed (Boehnke et al. 2003; Den Hartog et al. 1999). The four dimensions of transformational leadership are: idealised influence (or charisma), inspirational motivation, intellectual stimulation, and individual consideration (Judge & Piccolo 2004).

Transactional leadership is mainly concerned with relationships of exchange and use of conventional reward and punishment to gain compliance from their followers (House 1971; Muijs et al. 2006) or more simply it focuses on getting things done (Boehnke et al. 2003) Transactional leadership may be considered to be of a practical nature because of its emphasis on meeting specific targets or objectives. Transactional leaders are able to recognise and reward followers' accomplishments and intervene and take appropriate action (Jung 2001).

A number of studies (as cited in Den Hartog et al 1999) suggest that transformational leadership is more effective than transactional leadership with over 35 studies reporting positive relationships between transformational leadership and follower performance (Boehnke et al. 2003). However Boehnke et al (2003 p 7) also report that on balance "the majority of research examining the relationship between transactional leadership and individual performance has been positive". These two categories are not exclusive of one another with some authors arguing that each can be considered as separate concepts, and that superior leaders are both transformational and transactional (Judge & Piccolo 2004). This supports the argument of an augmentation effect; that is, that transformational leadership has to be built on the foundation of transactional leadership (Judge & Piccolo 2004).

Research by Bass (1997) suggests that the transactional/transformational paradigm may be universal. He argues that transformational leadership is correlated with positive outcomes in seven countries from America, Europe and Asia-Pacific. For this study, the

concept that both aspects of leadership may impact on the role of the HoD and their concomitant MLCs is taken. Thus the relative emphasis placed on transformational versus transactional leadership behaviours may emerge as part of this study.

3.2.1.2 Organisational leadership in a global context

Almost all the prevailing theories of leadership are North American (House & Aditya 1997) and the majority of leadership research over the past 50 years has been conducted in the west (Yukl 2005). Despite the argument that globalisation creates pressures on a country's culture creating potential homogenisation of culture (Stedham & Yamamura 2004), there is considerable evidence, that the value placed on any specific leadership behaviour, varies from culture to culture (Hofstede 2001a; House & Aditya 1997; House et al. 2004; Zagorsek, Jaklic & Stough 2004). Zagorsek, Jaklic and Stough (2004) suggest the possibility that that there may be some leadership behaviours that are universal and that the impact of cultural differences on management and leadership may be decreasing, whilst Den Hartog et al (1999 p 221) suggest that "cultural groups may vary in their conceptions of the most important characteristics of effective leadership". Indeed, House et al (2004) propose that the extent that leadership is contingent on culture is still relatively unknown.

The results of the GLOBE studies of 62 societies are suggestive that specific aspects of charismatic/transformational leadership are strongly and universally endorsed across cultures. Attributes form part of MLCs as defined in section 1.6. The GLOBE studies identified leadership attributes including integrity, a team orientation and charisma, which are all associated with transformational leadership and are listed in Table 3.1.

Table 3.1: *GLOBE study - universal positive leader attributes*

Attributes		
Trustworthy	Motive arouser	Administratively skilled
Just	Confidence builder	Communicative
Honest	Motivational	Informed
Foresight	Dependable	Coordinator
Plans ahead	Intelligent	Team builder
Encouraging	Decisive	Excellence orientated
Positive	Effective bargainer	Dynamic
Win -win problem solver		

[Developed for this study from Dorfman, Hanges & Brodbeck (2004)]

Some of the charismatic attributes identified by the GLOBE study were perceived as culturally contingent, rather than universal: - risk taking, ambitious, self-effacing, self-sacrificial, sincere, sensitive and compassionate (Den Hartog et al. 1999; Dorfman, Hanges & Brodbeck 2004). This consideration of universal versus culturally contingent attributes leads to one of the research issues in this study:

R I 4. *How do the required MLCs at Kerala HEIs differ from those identified in the literature?*

3.2.1.3 Leadership as part of, or separate, from management

The lack of a clear definition of leadership compounds the debate between leadership and management and this has become a point of contestation in the management field (English 2005). Yukl (2005) argues that the continuing controversy about leadership and management can be reflected in the purpose of the influence processes. Some authors suggest that the debate can be summarised as managers being orientated to stability and leaders as orientated towards innovation or change (Aldag & Kuzuhara 2005; Yukl 2005). While some researchers liken the difference between leadership and management to varying shades of grey, the argument can perhaps best be summarised as a continuum (Levy 2004). In this continuum, innovation and change is at one end and stability and order is at the other (Yukl & Lepsinger 2005).

Carlopio, Andrewartha et al (2005 p12) argue that any distinction between leadership and management does not have "any meaning in today's global and constantly changing organisational life". Kanji and Moura E Sa (2001 p701) state that

> "for some the distinction (if it exists) is not important at all. According to them, there is considerable overlap between the two concepts. Although, for the most, the distinction tends to focus on somehow different purposes associated with the roles of managers and leaders."

Not all authors ascribe to that position. Kotter (1999) consistently argues that leadership is distinct from management. He identifies management as coping with complexity to bring about order and consistency by drawing up formal plans, designing rigid organisation structures, and monitoring results against the plans. It is argued that leadership, on the other hand, copes with change and establishes direction by developing a vision of the future and aligning people to this vision. According to Kotter (1999), the relative importance of each depends on the situation, with more complex organisations

increasing the importance of management. Whereas, when the external environment becomes more dynamic and uncertain, the value of leadership increases (Yukl & Lepsinger 2005).

Conversely, Mintzberg's (1980) classic work puts forward the view that all managers perform ten activities and these are divided into three groups –interpersonal relationships (figurehead, leader, liaison); informational (monitor, disseminator, spokesperson) and decision making roles (entrepreneur, disturbance handler, resource allocator, and negotiator). Mintzberg (1980) argues that the leadership role is the most significant. Drucker (2001) likewise considers leadership to be a subset of management which can be defined as the "achievement of organisational goals through the major functions of planning, organising, *leading* and controlling" (Bartol et al. 2005 p5).

Yukl and Lepsinger (2005) contend that scholars who have defined the two roles in a narrow way, are not necessarily reflecting adequately, the literature on management and leadership. They argue that this has resulted in the continuation of the management versus leadership controversy, and they suggest a consideration of this issue in three ways:

a) the first way is to consider the two as co-equal roles, with each being more broadly defined in the literature;

b) the second approach is to retain a relatively narrow definition of leadership, and include this as part of management as per Drucker (2001) and also that of Mintzberg (1980). DuBrin and Dalglish (2003) and Levy (2004) proposed a similar argument, stressing both are necessary, but leadership is more so, for an organisation's success; and

c) the final approach is to identify roles without classifying them as either management or leadership as per the flexible leadership model which considers three key determinants: (i) efficiency and process reliability, (ii) innovation and adaptation, and (iii) human resources and relations (Yukl & Lepsinger 2005).

This study is based on the third approach and considers MLCs without classifying them as either management or leadership. This is because managerial and leadership functions in any organisation are worthy of identification and development in order to ensure an effective organisation and that the emphasis of each will depend on the situation and context both internal and external to the organisation (Bateman & Snell 2003; DuBrin &

Dalglish 2003; Kotter 1999; Levy 2004; Yukl & Lepsinger 2005). Young and Dulewicz's (2009 p 796) position supports this. They state that both leadership and management involve:

1. "conceptualising what needs to be done,
2. aligning people and resources,
3. taking an active role (and)
4. creating success".

They go into to suggest that "the similarity of the above activities suggested the existence of individual, or clusters, of underlying competencies " (Young & Dulewicz 2009 p 796) and these are the MLCs that is the focus of this study.

The use of the term *managerial leadership* as the approach for this study is discussed in the next section.

3.2.1.4 Managerial leadership

The use of the concept *managerial leadership* proposed by Quinn et al (2003) provides a way forward in the debate about the relationship between management and leadership. It echoes that of Yukl and Lepsinger's (2005) third approach, and integrates both management and leadership behaviours (Osseo-Asare, Longbottom & Chourides 2007), both transformational and transactional, so that the *range of competencies* required for a manager to function in an organisation is acknowledged (Quinn et al. 2003). Darling and Nurmi (2009 p 206) reviewed the literature in relation to the issue of management and leadership and concluded that " most truly successful individuals in key directive roles in organisations develop a capability to perform both sets of functional responsibilities well". This is echoed in Osseo-Asare, Longbottom and Chourides' (2007 p 542) position where managerial leader are expected to be *effective* leaders in deciding the right teaching and research quality improvement objectives and second, be *efficient* managers in the way resources are utilised to achieve predetermined objectives.

Quinn et al (2003) provide an integrated approach to an understanding of the roles and competencies needed by managers and leaders in using the term *managerial leader*. Thus the term being used to reflect the area of management and leadership will be *Managerial Leadership.* The definition of managerial leadership (as indicated in section

1.6), for the purpose of this study, is adapted from Quinn et al (2003) and Hellriegal, Jackson & Slocum (2005) to mean:

> *the ability to integrate opposite and complex roles in order to manage human relation functions, organise, adapt and be productive, in pursuit of the organisation's goals.*

Quinn et al (2003) have developed a *Competing Values Model* (CVM) which details eight roles with three competencies each (a total of 24 competencies) that are needed for successful managerial leadership. The eight roles and competencies are illustrated in Table 3.2.

Table 3.2: *The CVM: The eight managerial leadership roles and their key competencies*

Role	Competency	Role	Competency
Mentor	Understanding self and others Communicating effectively Developing employees	**Director**	Developing and communicating a vision Setting goals and objectives Designing and organising
Facilitator	Building teams Using participative decision making Managing conflict	**Producer**	Working productively Fostering a productive work environment Managing time and stress
Monitor	Monitoring individual performance Managing collective performance and processes Analysing information with critical thinking	**Broker**	Building and maintaining a power base Negotiating agreement and commitment Presenting ideas
Coordinator	Managing projects Designing work Managing across functions	**Innovator**	Living with change Thinking creatively Managing change

[Source: Quinn et al (2003 p23)]

The concept of ML was presented in this section. The focus now turns to the issue of competencies before discussing MLCs.

3.2.2 Competencies

The competency movement has provided a paradigm, in the past 36 years (Boyatzis & Ratti 2009; Boyatzis & Saatcioglu 2008), for breaking human or organisational behaviour into component parts and like any paradigm is useful in that it helps explain reality (Chandramouly 2002). There is now a growing acceptance of competencies within organisations as criteria for business success and for the development of employees (Boyatzis 2008; Boyatzis & Ratti 2009; Chandramouly 2002; Chatterjee & Pearson 2004; Zenger & Folkman 2003).

3.2.2.1 Defining the term 'competencies'

The use of the word 'competency' in the management field is widely attributed to Boyatzis' (1982) however, practitioners and researchers have used 'competency' with apparent different meanings (Cheng, Dainty & Moore 2003; Hoffmann 1999). Part of the confusion, and the debate, lies with the terms competence and competency being referred to in different ways. Another major difference of perspective is whether competencies define an input orientation (adopted by the USA) or an output orientation (adopted by the UK). Definitions found in the literature, and their orientation are presented in Table 3.3.

Table 3.3: *Summary and classification of a range of definitions of 'competencies'*

Author	Year	Definition	Orientation
Boyatzis	1982	An underlying characteristic of an individual that is causally related to effective or superior performance	Input
MCI# in Hanno (2000)	1990	The ability to perform the activities within an occupation or function to the standard expected	Output
McClelland	1993	Basic personal characteristics that are determining factors for acting successfully in a job or a situation.	Input
NCVQ# in Horton (2000)	1997	The ability to apply knowledge, understanding, practical and thinking skills to achieve effective performance to the standards required in employment.	Output
Stuart and Lyndsay	1997	Integrated sets of behaviours which can be directed towards successful goal achievement within competence domains.	Input
Lucia and Lepsinger	1999	A specific skill, knowledge, or characteristic needed to perform a role effectively and to help a business meet its strategic objectives.	Input
Hanno, Patten and Marlow	2000	The ability to utilise skills and knowledge in a work activity which can be assessed through performance.	Output
Ford	2001	The demonstrable activities that make an individual employee valuable to the overall success of the organisation.	Output
Rodriguez et al (2002)	2002	A measurable pattern of knowledge, skill, abilities, behaviours, and other characteristics that an individual needs to perform work roles successfully.	Input
Mackay	2003	The necessary knowledge, skills, experience and attributes to carry out a defined function effectively.	Input
Bartrum	2005	Sets of behaviours that are instrumental in the delivery of desired results or outcomes.	Input
Boyatzis	2008	It is a set of related but different sets of behavior organised around an underlying construct. The behaviors are alternate manifestations of the intent, as appropriate in various situations or times.	Input

#MCI =Management Charter Initiative; NCVQ= National Council for Vocational Qualifications
(Developed for this study)

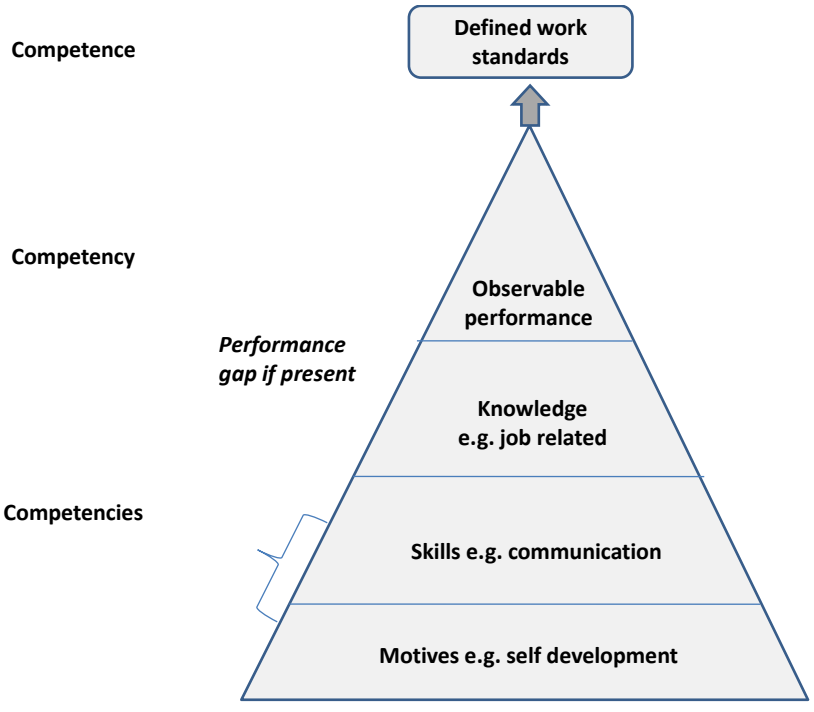
Not all these definitions are compatible with one another and the debate continues in the literature (Berge et al. 2002). This lack of a widely accepted definition of competency in the literature becomes problematic, both to comparisons across the literature and to defining the concept for this study.

A consideration of the work of Moore, Cheng and Dainty (2002) can assist in determining a definition for this study. These authors argue for further clarification for the term, *competencies*. In applying a systems methodology in which problems are broken down into sub-problems (Moore, Cheng & Dainty 2002), the following characteristics of the key terms have been modified (in italics) to mean:

- competence - an area of work *described to a standard*;
- competency - the set of observable behaviour(s) supporting *that standard* in an area of work; and
- competencies - the level of competence for a person derived from attributes underpinning behaviour, such as motives, traits, skills and knowledge (Moore, Cheng & Dainty 2002; Sanghi 2005).

These components of this definition are illustrated in Figure 3.1.

Figure 3.1: *Relationship of component parts of definition*



[Adapted for this study from Sanghi (2005)]

Thus, for the purpose of this study, a combination of these sub problems can assist in formulating a definition. Two definitions of competency that consider these sub problems are that of Stuart and Lindsay (1997) and Barber and Tietje (2004).

MLCs defined

Stuart and Lindsay (1997 p28), after considering the literature, propose a definition of competencies as

> *"integrated sets of behaviours which can be directed towards successful goal achievement within competence domains".*

The identification of MLCs for training and development is a key component of this study. Barber and Tietje (2004 p506), in their study, considered the identification of competencies for the purpose of training and development and defined MLCs as

> "*a cluster of related knowledge, skills, and attitudes that affects a major part of one's job (a role or responsibility), that correlates with performance on the job, that can be measured against well-accepted standards, and that can be improved via training and development".*

Therefore a definition of MLCs for this study, which reflects the issues discussed in this section, but also incorporates a level of commonality, can be adapted (in bold) from Stuart and Lindsay (1997) and Barber and Tietje (2004) to be:

> *MLCs are integrated sets of manager behaviours* ***and attributes*** *which can be directed towards successful goal achievement within competence domains* ***in one's job, to agreed work standards,*** *and that can be* ***improved via training and development****.*

As indicated in section 1.6, this definition will be used for the purpose of this study.

3.2.2.2 Criticisms of the use of competencies for ML roles

The widespread introduction and use of competencies in both the private and public sector along with government support in the UK, the US and Australia has led to a considerable face validity of the approach (Garavan & McGuire 2001). However, competency identification remains a controversial issue in the literature (Burgoyne 1993; Garavan & McGuire 2001; Vakola, Soderquist & Prastacos 2007) due to construct and criterion validity issues (Wickramasinghe & De Zoyza 2009).

In particular, the management standard National Vocational Qualifications (NVQs) developed in the UK as part of the Management Charter Initiative (MCI) have received numerous criticisms (McAdam & Crowe 2004). Indeed some researchers have described the MCI approach as trying to create *identikit* managers, whilst ignoring the impact of the organisation and business environment in which they operate (Cheng, Dainty & Moore 2003).

The US approach has also not been without criticism, especially the approach to listing MLCs (Cheng, Dainty & Moore 2003). These criticisms can be summarised as follows:

a) behaviours in today's superior performers may not be what is needed for the organisation in the future (Athey & Orth 1999; Cairnes 2000; Woodruffe 1991),
b) the approach to only considering managers' characteristics alone ignores the culture and structure of the organisation, and the business environment in which it exists (Garavan & McGuire 2001; Hayes, Rose-Quirie & Allinson 2000; Stuart & Lindsay 1997), and
c) the more universal the list of MLCs, the less likely it will be to apply to a specific environment (Hayes, Rose-Quirie & Allinson 2000).

Indeed, McKenna (2002 p680) argues that MLCs have been "reduced to a superficial and simplistic form" and without sufficient consideration of the context in which the competencies are developed. This is supported by Garavan and McGuire (2001) who postulate that there is a bias in the literature to consider competency in a context free way. As competencies are demonstrated in a job context, they are influenced by an organisation's culture and work environment (Berge et al. 2002; Chandramouly 2002; New 1996; Stuart & Lindsay 1997). Some authors are recognising the limitations of any standard competency list being generalised across organisations (Burgoyne 1993; Stuart, Thompson & Harrison 1995). MLCs thus need to be viewed within the context of the organisation (McKenna 2004) and Ruth (2006) argues that situational factors vary greatly in any organisation. All of this debate gives rise to consideration of a number of this study's research issues:

R I 2. *What is the organisational context of Kerala's HEIs?*

R I 2.1 How does the organisational context impact on the development of MLCs?

R I 4. *How do the required MLCs at Kerala HEIs differ from those identified in the literature?*

In summary, criticisms of the use of competencies relate to both philosophical and practical concerns. As organisations and researchers focus on how best to identify and implement MLCs some practical concerns need to be addressed as "understanding and cultivating competencies should be a continuing preoccupation of organisations, regardless of size or purpose" (New 1996 p50).

3.2.2.3 MLCs and organisational performance

Competencies can be directed at the organisational or individual level (Cheng, Dainty & Moore 2003; Erwee et al. 2002; Hoffmann 1999) and this study focuses on individual competencies. When individual competencies are considered for managers, then the term 'managerial competencies' (in this study, MLCs) is frequently used (Burgoyne 1993). The identification and development of MLCs has been linked to organisational characteristics that reflect higher organisational performance (Heffernan & Flood 2000; Hofrichter & McGovern 2001). Indeed it can be argued that organisational and MLCs are very much connected and organisations using core competency-based systems are often referred to as high performance organisations (Abraham et al. 2001). By considering the full range of MLCs the emphasis focuses on how best the person can serve the organisation in fulfilment of its goals (Rodriguez et al. 2002). The use of MLCs can thus be seen as a "sophisticated and promising tool for shaping organisational behaviour" (Hofrichter & McGovern 2001 p35) and hence improving organisational performance.

Despite the often costly investments of organisations, and the efforts of management academics, there is still some way to go in order to develop the MLCs required of managers to be successful in their own organisation (New 1996; Rausch, Sherman & Washbush 2002; Young & Dulewicz 2009). Hence an understanding of individual competencies is critical to one of the main goals of an organisation, which is, to effectively manage the work performance of the individuals within it (Berge et al. 2002; Erwee et al. 2002). Hafeez and Essmail (2007) have developed a framework linking organisational and individual competency. Their approach follows the five stages of:

- Mapping the capabilities and underlying tangible and intangible assets,
- Determining key capabilities,

- Determining competencies,
- Identifying core competencies; and
- Evaluating and linking the related personal competencies.

Thus the role of identifying MLCs is recognised by Hafeez and Essmail as well as more broadly in the literature as one of importance to an organisation's overall performance. This leads to the research issue of:

R I 3. *What are the MLCs required by HoDs?*

Having discussed the *content* of this study, the *process* of developing MLCs is presented in the next section.

3.2.3 Managerial leadership development (MLD)

Many authors assert that MLD assists in increasing productivity and creating organisational change (Hunt & Baruch 2003; Muijs et al. 2006; Terrion 2006). Yukl (2005) suggests that whilst training is the most widely used approach in organisations to improve leadership behaviours he also points out that developing subordinates does not receive the attention it should from their managers in organisations.

The most prevalent approach to MLD in recent years has been the competency movement (Zenger & Folkman 2003). MLCs provide a useful, measurable tool to use in guiding and assessing MLD (Spendlove 2007; Viitala 2005). Thus, for this study it is not sufficient to understand the required MLCs of HoDs without a consideration of the ways in which they may be developed. Dhorranintra (1999) reviewed the literature and proposed 18 types of MLD. More recently Thomson et al (2001), Sandler (2002) and Frearson (2002) [within the HES] have also identified prevalent types of MLD. All of these identified development activities are summarised below in Table 3.4.

Turning to MLD in the HES, Temple and Ylitalo (2009) maintain that systematic training for ML in the HES is rare. This is supportive of earlier work of Henkel (2000) whose study of academic identity in 11 UK universities identified that HoDs had no systematic training in the role of becoming an academic manager. Further, Filan and Seagren (2003) found that though the HoD position is regarded as key in HEIs, little or no formal training for the job was given to incumbents. Whilst Thompson and Harrison's 2002 study found that HoDs had little MLD and indeed that many of the respondents saw little need of development in the role.

However, Terrion (2006) points out, there is now a much greater push for an emphasis on MLD in HEIs with several authors reflecting on the development needs of leaders in the academic field (Filan & Seagren 2003; Kekäle 2003; Raines & Alberg 2003). Terrion (2006) reviewed the effectiveness of a 13 module leadership training program at a Canadian university and found that this program had a positive impact on the development and reinforcement of leadership skills.

Table 3.4*: *Development activities identified by author

Development Activity	**Dhorranintra (1999)**	**Filan & Seagren (2003)**	**Frearson (2002)**	**Sandler (2002)**	**Thomson et al (2001)**
Special assignment	X		X		X
Job rotation	X		X	X	X
Action learning	X				
Mentoring	X	X		X	X
Feedback coaching	X			X	
In-depth development coaching	X	X		X	
Content coaching	X			X	
Multi-source feedback workshops (360o rating)	X				
Developmental assessment centres and workshops	X				
Outdoor challenge programs	X				
Personal development programs	X				
Training programs	X	X	X		X
Classroom lectures	X		X		
Films and videos	X				
Simulation exercise	X				
Behavior role modeling	X				
Case discussion	X				
Business games	X				
Job shadowing			X		
Sabbatical			X		

[Developed for this study from Dhorranintra (1999), Thomson et al (2001), Sandler (2002) & Frearson (2002)]

The need to develop MLCs in the HES has been described and this gives rise to the research issue in this study of:

R I 5. *How can Kerala HEIs develop the MLCs of HoDs?*

3.3 Research problem theory: MLCs of HoDs in Kerala HEIs

Having considered the *context* - culture, the HES *content* - MLCs and *process* - MLD, the immediate problem area of MLCs in HoDs at Kerala HEIs is considered in this section.

The paucity of research within both Indian HEIs and the MLCs required of the HoD in Kerala HEIs is highlighted. In this way the relevance of the research question and research issues are established.

3.3.1 Paucity of research on MLCs of HoDs in Indian HEIs

To date no studies have been found that specifically focus on MLCs in Indian HoDs though several authors have commented on the role of management and HoDs in HEIs. Powar (2005) commented on the need for managers at HEIs to delegate authority, assign responsibility, monitor progress and assess performance and to deal with the emergence, in recent years, of a political culture. Srivastava (1999) considered the role of the HoD and determined that they do not demonstrate leadership. Pylee (1999) identified a number of issues with HoD role: ineffective leadership, poor planning, ineffective communication, lack of proper control mechanisms, lack of motivation and coordination and lack of decision making. Whilst the above studies are of merit, none have focussed specifically on Kerala.

Given the difficulties identified by Erwee et al (2002) in adapting competencies from the private sector to a university setting in Australia, it can be postulated that there may be even greater obstacles to the development of this approach within Indian HEIs which can be typified by greater bureaucracy, more formal reporting mechanism, a more rigid organisational culture and a higher power distance (Amba-Rao et al. 2000; Budhwar & Khatri 2001; Hofstede 2005; Sinha 1995). Indeed Chandramouly (2002 p16) comments that "more work remains to be done to validate competency utilisation and identification of its value addition to Indian organisations".

As noted in section 3.2.2.2 competency development has not often addressed different cultural contexts and adaptation within specific organisational contexts, such as HEIs (Stuart & Lindsay 1997). There is still little work being conducted in the field of MLCs within HEIs outside of the developed world. However given the current environment of HEIs (outlined in sections 2.3.3, 2.3.4 and 2.3.6) it becomes imperative that the types of managerial leaders required in HEIs be identified as well as how these leaders, (and their MLCs), can be developed (Tack 1991).

3.3.2 Paucity of research on MLCs for HoDs in Kerala HEIs

Turning to the literature on HoDs in Kerala HEIs, Pulparampil (2000) describes the need for the role of the HoD at Kerala universities to provide supervisory, team, organisational and educational leadership to departments, however no concerted effort has been made to develop these skills within the HoDs. He goes on to suggest that for HoDs to be successful the following actions are required:

(a) develop a departmental vision that is reflective of the organisational vision,

(b) evaluate, plan and communicate the need for all resources required to expand and maintain the department's level of service to its stakeholders,

(c) define the job, person specification and competence levels for all positions in the department,

(d) define work and works schedules as well as performance levels for the department, and

(e) develop and communicate a decision making systems, a performance appraisal system and the role of supervisory management within the department (Pulparampil 2000).

Identification of MLCs required for HoDs will go some way to achieving this. To date, few, if any, studies have focused specifically on the identification of MLCs and none in reference to Kerala HEIs.

Having identified the paucity of research in the area of MLCs in Kerala HEIs and thus the need to focus research in this area, the research question and the theoretical framework developed from the extant literature, are presented in the next sections.

3.4 Research question

From the presentation of the *context*, *content* and *process* aspects drawn from the literature there emerges a gap in the research which leads to the subject of this study:

> *What are the required MLCs for HoDs, within the cultural and organisational context of Kerala HEIs, and how can these competencies be developed?*

3.5 Theoretical framework for the study

The proposed dissertation intends to draw together a number of different approaches, aimed at covering the key issues impacting on the development of MLCs at Kerala HEIs. Firstly, the *contextual* (cultural and organisational) factors discussed in Chapter two will

be outlined and linked (3.5.1). MLCs - the *content* of the model (3.5.2) and the *process* - MLD (3.5.3) are presented. Lastly all these will be developed into a preliminary theoretical framework for this study (3.5.4).

3.5.1 The context: cultural and organisational

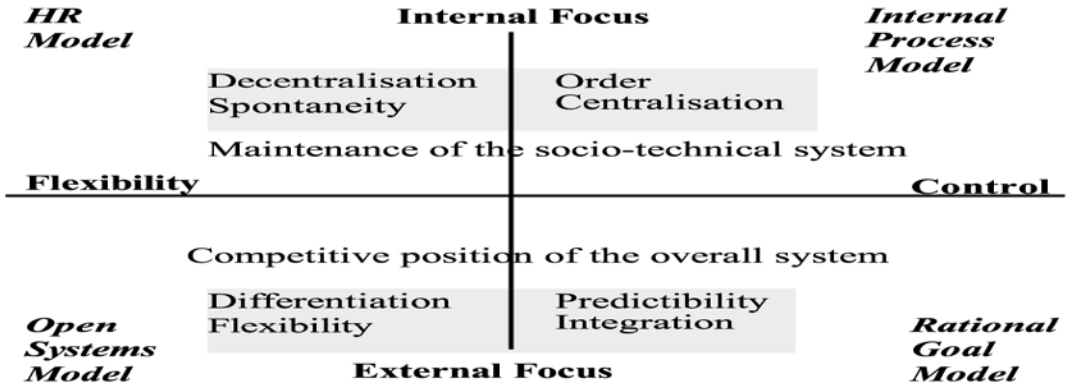
As discussed in section 3.2.2.2 both cultural and organisational factors can influence the MLCs of managers in organisations. Both of these factors have been included in the theoretical framework below. The cultural context considers not only the national culture of India but also that of the state of Kerala (see sections 2.2.3 & 2.2.4) and for this study Hofstede's cultural dimensions model has been selected. Organisational context is complex and can include factors such as such as maturity, size, structure and nature of the organisation (Budhwar & Khatri 2001; New 1996). As discussed in section 1.2.2, the preliminary framework focuses specifically on three factors identified in the literature review; HEIs in Kerala [nature of the organisation] (see section 2.3.6.3); organisational cultural factors (see section 2.3.4) and also the level of HR sophistication which is now addressed.

Research aimed at identifying factors influencing the adoption of competence based HRM in Irish organisations indicated a relationship between the adoption of competency-based models and level of HR sophistication (Heffernan & Flood 2000). The results indicated support for the hypothesis that the adoption of competency frameworks was positively related to HR sophistication. HR sophistication, in turn, was linked with the size of the organisation. Hence, the interview schedule for this current study will focus on HR issues within HEIs, and cases have been selected based on size (as discussed in section 4.6.3.1).

3.5.1.1 Selection of an organisational culture model

A values-based approach to measuring organisational culture was developed by Quinn (1988) - the *Competing Values Framework* (CVF). Quinn's model delineates four cultures reflecting the four major models in organisational theory and which Cameron et al (2006) argue are present in all organisations. These cultures vary along two dimensions in terms of the extent to which they favour flexibility over control, and an internal focus over an external focus (Quinn 1988), as illustrated in Figure 3.2.

Figure 3.2: *Quinn's (1988) CVF of organisational culture*



[Source: Lamond (2003) adapted from Quinn 1998]

The descriptions of these competing cultures are presented in Table 3.5.

Table 3.5: *Key features of the four organisational cultures*

Rational (Rational goal)	**Hierarchal (Internal process)**	**Group (Human relations)**	**Developmental (Open systems)**
Short time lines	Long time lines	Long time lines	Short time lines
High certainty	High certainty	Low certainty	Low certainty
Independence	Predictability	Affiliation	Variation
Achievement	Certainty	Feelings	Risk
Purposive orientation	Present orientation	Process orientation	Idealistic orientation
Clarification of goals and structures	Systematic examination of facts	Participation	Future orientation
Productive	Single focus	Multiple focus	Creative problem solving
Rational analysis	Hierarchal	Team orientated	Innovative

(Adapted for this study from Quinn (1988) and Quinn et al (2003)

The CVF has been included as one of the forty most important frameworks for business (Cameron et al. 2006) and has been used for a variety of published studies in the USA; for example Hart and Quinn (1993), Ostroff and Schmitt (1993), Quinn and Anderson (1984) and in Australia Lamond (2003) and Standen (1997). Lamond's (2003 p56) Australian study found the CVF to be a valid and reliable measure and a "way of operationalising organisational culture". More recently Kallenberg (2007) used the CVF to describe the environment of academic managers in Dutch HEIs. The CVF has also been used in describing university organisational culture in Hong Kong with results indicating a predominantly *Rational goal* focus (Pounder 2002).

The CVF is one of four typologies reviewed by Gupta and Arogyaswamy (2002). In their reformulation of Quinn's approach they identified that uncertainty avoidance - one of the cultural dimensions (Hofstede 1991) being used in this current study - was associated with the four cultures of the CVF. They suggested the following relationship:

- High uncertainty avoidance- *Internal Process* and *Rational Goal* cultures
- Low uncertainty avoidance - *Human Relations* and *Open Systems* cultures.

Gupta and Arogyaswamy (2002) assigned organisational culture in India to the *Internal process* culture with a focus on stability and systematic routines. As the authors themselves suggest, that while this typology is useful to better understand different cultures, it is important not to accept generalised findings with many organisational cultures "being hybrids (which) do not fall exclusively into one quadrant" (Gupta & Arogyaswamy 2002 p492).

In summary, the CVF has been used in a variety of studies to describe organisational culture and thus is a useful model, as it:

- has a descriptive content of organisational culture,
- identifies dimensions to evaluate similarities and differences across cultures; and
- offers tools and techniques that enable measurement and representation of organisational culture (Howard 1998; Lamond 2003).

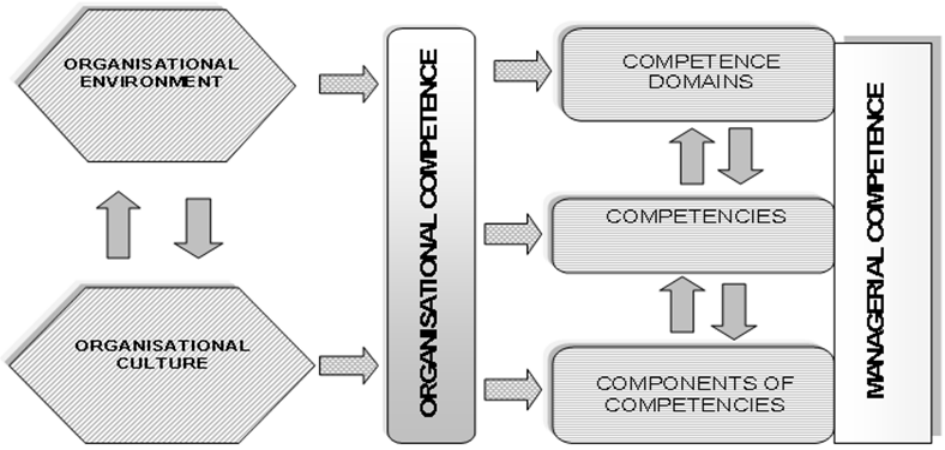
Based on the above discussion the CVF is to be used in this study to better understand the organisational culture of the case organisations under study.

3.5.1.2 Linking the contextual factors for this study

The model suggested by Stuart and Lindsay (1997) in Figure 3.3 below is useful in understanding the contextual factors of this study. Organisational environment, for the purposes of this study is considered to be the broader governmental (state and federal) influences that help to prescribe the organisation. Organisational culture is explanatory in the figure below and was discussed in section 2.3.4. The level of HR sophistication can be considered as part of the organisational competence of the Kerala HEIs. Thus Stuart and Lindsay's (1997) model has been modified for inclusion in the preliminary theoretical framework being developed for this study (detailed in section 3.5.4). Other

factors may emerge from the analysis of data in this the study for inclusion in the final theoretical framework presented in Chapter six.

Figure 3.3*: *A contextually embedded framework of MLCs in organisations



[Source Stuart & Lindsay (1997 p 27)]

3.5.2 The content: competency frameworks and typologies

In the literature concern has been expressed as to the generalisability of competence frameworks (Burgoyne 1993; McKenna 2002; Stuart, Thompson & Harrison 1995). Indeed Rowe (1995 p17) argues for "a framework which incorporates a series of … competency models which can be applied in different contexts". A competency approach needs to consider both an organisation's culture and current needs (Berge et al. 2002; Stuart, Thompson & Harrison 1995), so that there is a greater emphasis on the context dependent nature of competencies (Garavan & McGuire 2001). In the theoretical framework developed for this study, a consideration of both of these positions has been incorporated into the model.

3.5.2.1 Existing MLCs

Critical to the issue of identified MLCs is the relevance across different organisations. Indeed, a "dictionary of competencies" (Civelli 1998 p51) from one organisation may have little relevance or generalisability to another (Stuart & Lindsay 1997; Thompson & Harrison 2002; Viitala 2005). Stuart, Thompson and Harrison (1995) comment that approximately 70 percent of MLCs could be considered generic with the other 30 percent organisation specific. Hayes (2000) summarises a number of authors' views in acknowledging that some MLCs may have universal relevance.

A significant number of theoretical frameworks for management and or leadership competencies exist. It thus becomes important to distinguish between studies. Some authors such as Abraham et al (2001); Agut, Grau & Peiró (2003); Kanji & Moura E Sá (2001); and Townsend (1997) have reported the desired MLCs for a specific organisation under study, whilst others develop models which have developed workable frameworks that can be applied across various organisations (see Table 3.6). Thus only authors who have addressed the issue from a theoretical model have been considered for this study.

Table 3.6: *Summary of leadership and or management competency models*

Author	Approach or Model
Duncan and Harlacher (1991)	Five dimensions of HE leadership competencies: ▪ Institutional vision and revitalisation ▪ Ethical leadership ▪ Institutional empowerment and transformation ▪ Political leadership ▪ Institutional conceptualisation and survival.
Sandwith (1993)	Five domains of management (including leadership): ▪ Conceptual/creative domain ▪ Leadership domain ▪ Interpersonal domain ▪ Administrative domain ▪ Technical domain.
Nyhan (1998)	Four areas of management: ▪ Cognitive ▪ Technological ▪ Business (entrepreneurial) ▪ Social (organisational).
Rausch, Sherman and Washbush (2002)	A decision considerations approach to competencies based on specific issues (questions) on which managers have to make decisions and which focuses on the issues that lie below the surface of decision making.
Quinn et al (2003)	Competing Values Model Eight domains of managerial leadership and 24 competencies which integrate four management models (Human relations; Open systems; Internal process and Rational Goal): Innovator — Coordinator Broker — Monitor Producer — Facilitator Director — Mentor.
Bartrum (2005)	The Great Eight Competencies provides a work performance domain identifying eight major clusters of competencies: 1 Leading and Deciding 2 Supporting and Cooperating 3 Interacting and Presenting 4 Analysing and Interpreting 5 Creating and Conceptualising 6 Organising and Executing 7 Adapting and Coping 8 Enterprising and Performing.

(Developed for this study: listed by year)

Having established the difference between lists of competencies and competency models, a comparison of each of the model is presented, in the next section.

3.5.2.2 Evaluation of models for present study

Duncan and Harlacher's *Higher Education leadership* model could have been considered the most appropriate as it is applies to an educational setting; however its focus was more specifically on CEOs of community colleges. It was also limited to leadership dimensions. Nyhan's *Four areas of management* (1998) model was not selected as the classification of business (entrepreneurial) was not considered an appropriate classification for HEIs. Rausch, Sherman and Washbush's *Decision making considerations* model has not been selected for this study, as it was considered that a concrete description of MLCs, rather than a set of questions, would be more acceptable to the HoDs in Kerala HEIs as they have not previously been exposed to the concept of MLCs in a formal way. Thus a concrete framework (i.e. selecting from stated MLCs) would assist in a better understanding of the concept.

The *Competency domain* model (Sandwith 1993) draws on the work of Mintzberg (1980) who maintains that the manager's position is key to any analysis of organisations as "the manager is the apex of status and authority and because all information must come through this position, the manager is at the focal point for decision making" (Anderson & Arturo 2002 p2). This is also supported by the work of Rausch, Sherman and Washbush (2002) where the underlying concept of the *Competency domain* model thus assumes that the essential activity of managers is decision making. Whilst this model is attractive, it fails to take into account the conflict that occurs as managers make decisions based on competing organisational or individual values. The *Great eight* competencies approach (Bartram 2005) has as its base a review of published models and indeed has a high degree of similarity to the identified MLCs by Quinn et al (2003). Its drawback is the lack of consideration of the context dependent nature of MLCs. Thus for the purpose of this study Quinn et al's (2003) the CVM was selected. The justification for selecting the CVM is presented in the next section.

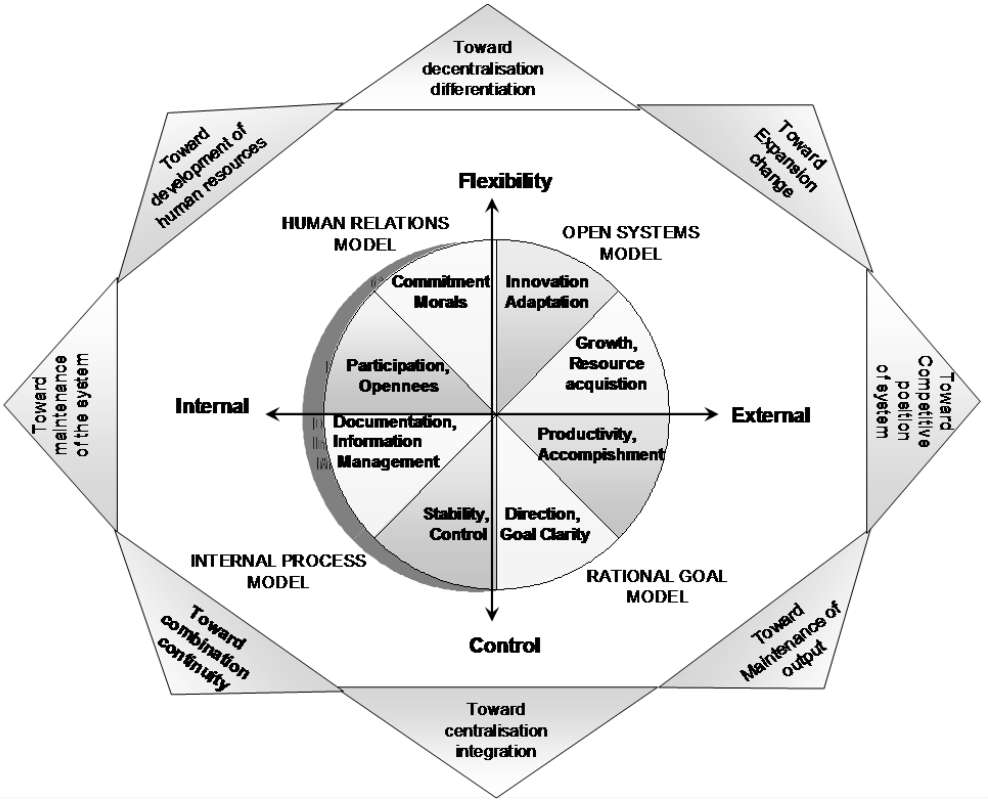
3.5.2.3 The selection of the Competing Values Model (CVM)

The CVM has a number of strengths in relation to consideration of MLCs. Firstly, the framework recognises and integrates four key models of management (Rational Goal

model; Internal Process model; Human Relations model; and the Open Systems model) from the CVF (see section 3.5.1.1). The four models and different orientations that an organisational culture may have are depicted in Figure 3.4.

The inclusion of the four models within the one *Competing values model* provides a degree of complexity and variety to the model which more correctly reflects the complex environment in which managers' act in today's environment, and thus how this contributes to overall organisational effectiveness or performance (Quinn et al. 2003).

Figure 3.4: *Quinn et al's (2003) CVM and organisational orientation*



[Source Quinn et al (2003 p13)]

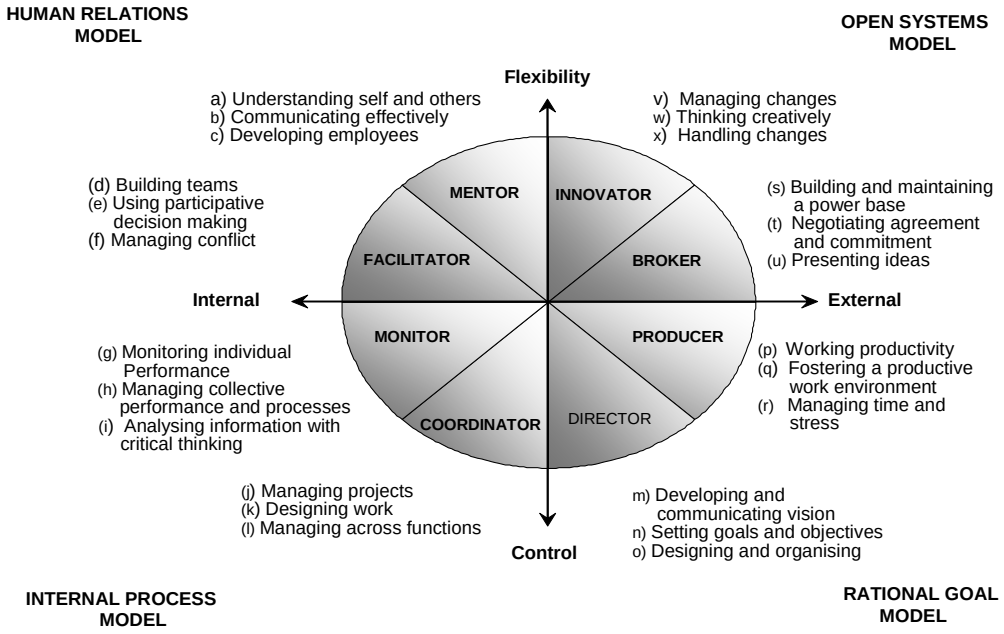
Further, the model demonstrates the tensions existing within organisations (i.e. between flexibility and control and between internal processes versus external positioning) thus offering the opportunity to move from an 'either or position' to a more inclusive approach in describing organisational culture, and also the roles and MLCs needed (Cameron et al. 2006.; Quinn 1988)

The CVM also has applications for managers at different levels of the organisation (Quinn et al. 2003) and is thus pertinent to this study focusing on middle manager (HoD)

MLCs. In accepting that organisations are complex adaptive systems (Collier & Esteban 2000) then the CVM also reflects the opposing nature of the models which characterises the position of organisations in the 'real world'(Quinn et al. 2003). Thus, for managers to be successful or competent in their role they need to demonstrate behavioural complexity (Athey & Orth 1999; Hayes, Rose-Quirie & Allinson 2000), that is, the capacity to demonstrate MLCs from each of the different models (Hooijberg & Quinn 1992). This concept is supported by several studies correlating behavioural complexity with effective performance cited in Quinn et al (2003).

Lastly, the model's defined MLCs were determined through an expert panel process, which finally determined the identified 24 competencies from a range of over 250. The theoretical framework for this study is thus partly based on the CVM (Quinn et al. 2003), as outlined in Figure 3.5.

Figure 3.5: *CVM: incorporating the CVF with associated roles and MLCs*



[Source Quinn et al (2003 p16)]

3.5.2.4. Contrasting identified MLCs from the literature with the CVM

The authors of the CVM argue that the identified competencies are highly consistent with the existing literature on MLCs, quoting publications ranging from the years 1963 to 2000 and including the following authors: Belasen (2000); Bigelow (1991); Boyatzis

(1982) Flanders (1981); Ghiselli (1963); Hart and Quinn (1993); Katz (1974); Livingston (1971); Luthans and Lookwood (1984); Miner (1973); Mintzberg (1975); Whetton and Cameron (1994); and Yukl (1981) as cited in Quinn et al (2003 p23). An independent review of the literature, by the researcher, identified 19 authors who had published in the field of MLCs other than those cited above, and these articles were included in the data set as they met the following two criteria:

> Factor 1: the publication studied or was related to a higher educational setting
> Factor 2: the paper was written in 2000 or later[3].

The inclusion of competencies from both types of studies would thus ensure greater face validity for the CVM (refer Table 3.7 below). To further enhance the rigour of this model for this study, the approach of Hammons and Murry (1996) within the HES is replicated. This consisted of an extensive literature review using only competencies that have been cited by five or more authors. While an argument can be made against including MLCs from fields other than HE, the relative dearth of studies of middle managers in HE in the literature and more importantly the recognition of the current trend of managerialism in HE (Rindfleish 2003) mitigate against this. By including sources from the corporate world, it was felt this research would be more complete and that MLCs might be identified that otherwise would have been overlooked (Hammons & Keller 1990). This process brings rigour to the model as each item will have been triangulated from a variety of sources from both educational and non educational settings, as well as both public and private sector studies.

A summary of identified MLCs cited in the literature, by author, against the relevant competency role in the CVM is provided in Table 3.7. Authors highlighted in bold indicate that the study was conducted in the HES. As can be seen from Table 3.7 below, all 24 competencies of the CVM meet the criteria established by Hammons and Murry (1996) of being correlated with a minimum of five different studies. It is important to note that as each author may use different terms in defining each of the competencies, it was a matter of judgement, by the Researcher (Thomas & Sireno 1980) as to where the cited competencies were placed against the corresponding MLCs of the CVM.

[3] In order to update the literature review of Quinn et al (2003) who only quoted studies up to the year 2000

From this analysis, it is interesting to note that there is a strong relationship with two of the other frameworks reviewed. The *Decision Making Considerations* questions of Rausch, Sherman and Washbush (2002) were matched within each of the eight competency roles. Bartram et al's (2005) *Great Eight* competencies also show a high correlation with 22 of the 24 competencies from the CVM. Additionally the competency framework developed by Erwee et al (2002) for an Australian university has a high correlation to all aspects of the CVM.

Table 3.7: *Summary of cited competencies matched to role and competency of the CVM*

ML Role	Competency	Identified Authors
Mentor *(Ca)*	Understanding self and others	Agut et al (2003); Abraham (2001); Bartram (2005); Bennis (1991); Duncan and Harlacher (1991); **Erwee et al (2002); Hammons & Keller (1990); Meyer (2002);** Scholtes (1999); **Sherman et al (2001); Spendlove (2007)**
(Cb)	Communicating effectively	Agut et al (2003); Abraham (2001); Bartrum (2005); Bennis (1991); Duncan and Harlacher (1991); **Erwee et al (2002)**; **Hammons & Keller (1990)**; Matheson (2001); Rausch et al (2002); **Spendlove (2007); Townsend (1997)**
(Cc)	Developing employees	Bartram (2005); Duncan and Harlacher (1991); **Erwee et al (2002); Hammons & Keller (1990);** New (1996); Rausch et al (2002); **Sherman et al (2001); Spendlove (2007); Terrion (2006); Townsend (1997**); Yukl & Lepsinge**r (2005)**
Facilitator *(Cd)*	Building teams	Abraham et al (2001); Bartrum (2005); Duncan and Harlacher (1991); **Erwee et al (2002);** May (1999); **Meyer (2002**); New (1996); **Spendlove (2007); Terrion (2006);** Yukl & Lepsinger **(2005)**
(Ce)	Use participative decision making	Agut et al (2003); Bartram (2005); **Erwee et al (2002);** Matheson (2001); May (1999); **Meyer (2002);** Rausch et al 2002); **Terrion (2006); Townsend (1997);** Yukl & Lepsinger (2005)
(Cf)	Managing conflict	Agut et al (2003); Bartram (2005); **Erwee et al (2002); Hammons & Keller (1990);** Rausch et al (2002); **Terrion (2006)**
Monitor *(Cg)*	Monitoring individual performance	Bartram (2005);**Erwee et al (2002)**; **Hammons & Keller (1990);** Matheson (2001); May (1999); New (1996); Rausch et al (2002); **Sherman et al (2001); Terrion (2006); Townsend (1997);** Yukl & Lepsinger (2005)
(Ch)	Managing collective performance and processes	Agut et al (2003); Bartram (2005) **Erwee et al (2002)**; **Hammons & Keller (1990);** Matheson (2001); May (1999); **Meyer (2002);** New (1996); Rausch et al (2002); Scholtes (1999); **Sherman et al (2001); Townsend (1997)**
(Ci)	Analysing information with critical thinking	Abraham et al (2001); Bartram (2005)**; Erwee et al (2002)**; **Hammons & Keller (1990);** May (1999); New (1996); **Townsend (1997)**
Coordinator *(Cj)*	Managing projects	Bartram (2005); **Erwee et al (2002); Hammons & Keller (1990); Meyer (2002);** Scholtes (1999);**Terrion (2006);** Townsend (1997)
(Ck)	Designing work	**Erwee et al (2002);** Hammons & Keller (1990); Matheson (2001); New (1996); Rausch et al (2002); Meyer (2002)
(Cl)	Managing across functions	**Erwee et al (2002);** Hammons & Keller (1990); May (1999); New (1996); Rausch et al (2002); Scholtes (1999); Terrion (2006)

(continued next page)

Table 3.7: *Summary of cited competencies matched to role and competency of the CVM cont.*

ML Role	Competency	Identified Authors
Director *(Cm)*	Developing and communicating a vision	Agut et al (2003); Bartram (2005); Bennis (1991); Duncan and Harlacher (1991); **Erwee et al (2002)**; **Hammons & Keller (1990) ;** Kanji (2001); Matheson (2001); Rausch et al (2002); Scholtes (1999); Yukl & Lepsinger (2005)
(Cn)	Setting goals and objectives	Abraham et al (2001); Bartram (2005); **Erwee et al (2002**); **Hammons & Keller (1990);** Kanji (2001); Matheson (2001); **Meyer (2002);** New (1996); Rausch et al (2002); **Spendlove (2007); Townsend (1997); Terrion (2006);** Yukl & Lepsinger (2005)
(Co)	Designing and organising	Bartram (2005); **Erwee et al (2002);** Matheson (2001); New (1996); Rausch et al (2002); Scholtes (1999)
Producer *(Cp)*	Working productively	Bartram (2005); Duncan and Harlacher (1991); **Erwee et al (2002); Hammons & Keller (1990);** Matheson (2001); **Spendlove (2007)**
(Cq)	Fostering a productive work environment	Bartram (2005); **Erwee et al (2002); Hammons & Keller (1990)**; Kanji (2001); New (1996**);** Rausch et al (2002); Yukl & Lepsinger (2005)
(Cr)	Managing time and stress	Agut et al (2003); Bartram (2005); Duncan and Harlacher (1991); **Erwee et al (2002); Hammons & Keller (1990);** Matheson (2001); May (1999); **Spendlove (2007); Townsend (1997)**
Broker *(Cs)*	Building and maintaining a power base	Bartram (2005); Duncan and Harlacher (1991); **Erwee et al (2002)**; **Hammons & Keller (1990);** Rausch et al (2002); **Sherman et al (2001)**
(Ct)	Negotiating agreement and commitment	Bartram (2005); **Erwee et al (2002); Hammons & Keller (1990);** Matheson (2001); May (1999); **Meyer (2002);** New (1996); **Spendlove (2007)**
(Cu)	Presenting ideas	Agut et al (2003); Bartram (2005); **Erwee et al (2002); Hammons & Keller (1990);** Matheson (2000); May (1999); New (1996); **Terrion (2006)**
Innovator *(Cv)*	Living with change	Agut et al (2003); Bartram (2005); **Erwee et al (2002)**; **Hammons & Keller (1990);** Matheson (2001); New (1996); **Sherman et al (2001); Terrion (2006)**
(Cw)	Thinking creatively	Bartram (2005); Duncan and Harlacher (1991); **Erwee et al (2002)**; **Hammons & Keller (1990);** May (1999); New (1996)
(Cx)	Managing change	Bartram (2005); **Erwee et al (2002)**; **Hammons & Keller (1990);** Matheson (2001); May (1999); **Meyer (2002);** New (1996); **Sherman et al (2001); Spendlove (2007); Terrion (2006);** Yukl & Lepsinger (2005)

(Developed for this study from the literature as cited - studies from the HES are indicated in bold)

In summary, using these studies, the literature was integrated and classified and this formed part of a conceptual framework for this study. Given this analysis, the CVM has considerable face validity and will thus be used as part of this study's preliminary theoretical framework (note column B in Figure 3.6).

3.5.2.5 Categories of competencies

In recognition of the complex interplay between the job (Hoffmann 1999) and organisation (Cheng, Dainty & Moore 2003), the categorisation model presented by New

(1996) will also be adapted into the preliminary theoretical framework. New identified three discrete categories of competencies and these are:

(a) Job specific competencies

(b) General management competencies, and

(c) Organisational specific competencies.

Each is described, with the term adopted for this study, in Table 3.8.

Table 3.8: *Summary of competency types in organisations*

Competency Type	**Description**
Job specific (JSCs)	The aspects of activities in a particular role or position which are associated with effective performance. They are the attributes that are required to carry out a specific job successfully.
General managerial leadership (GMLCs)	The ways in which a person in a managerial leadership role interacts with other people in an organisation whether peers, superiors, or subordinates.
Organisation specific (OSCs**)**	The means by which a person adjusts his/her way of working in order to operate within the culture of an organisation, irrespective of the particular role which he or she occupies.

[Adapted from New (1996)]

JSCs are considered to be part of the micro level analysis of jobs including competencies other than leadership and management and are thus not included in this study. However, both *General Management* competencies and *Organisational Specific* competencies will be considered as part of the preliminary theoretical framework, with GMLCs sharing a close alignment with the MLCs under investigation in this study. For the purpose of this study, the CVM of Quinn et al (2003) is used, to partially describe the category of GMLCs. OSCs lend further credence to the argument that the contextual factors of an organisation influence the need for certain competencies. The use of OSCs will be used in the model to determine the similarities and differences across the case organisations.

In summary, the theoretical framework is built on the CVM of Quinn et al (2003), which has high face validity in encapsulating many of the MLCs identified by various authors in the literature, and also with the approach, by New (1996). New's approach has been used in recognition of the complexities of both the job and organisational environment i.e. the context. These two models thus provide the *content* (i.e. the competencies) of the model.

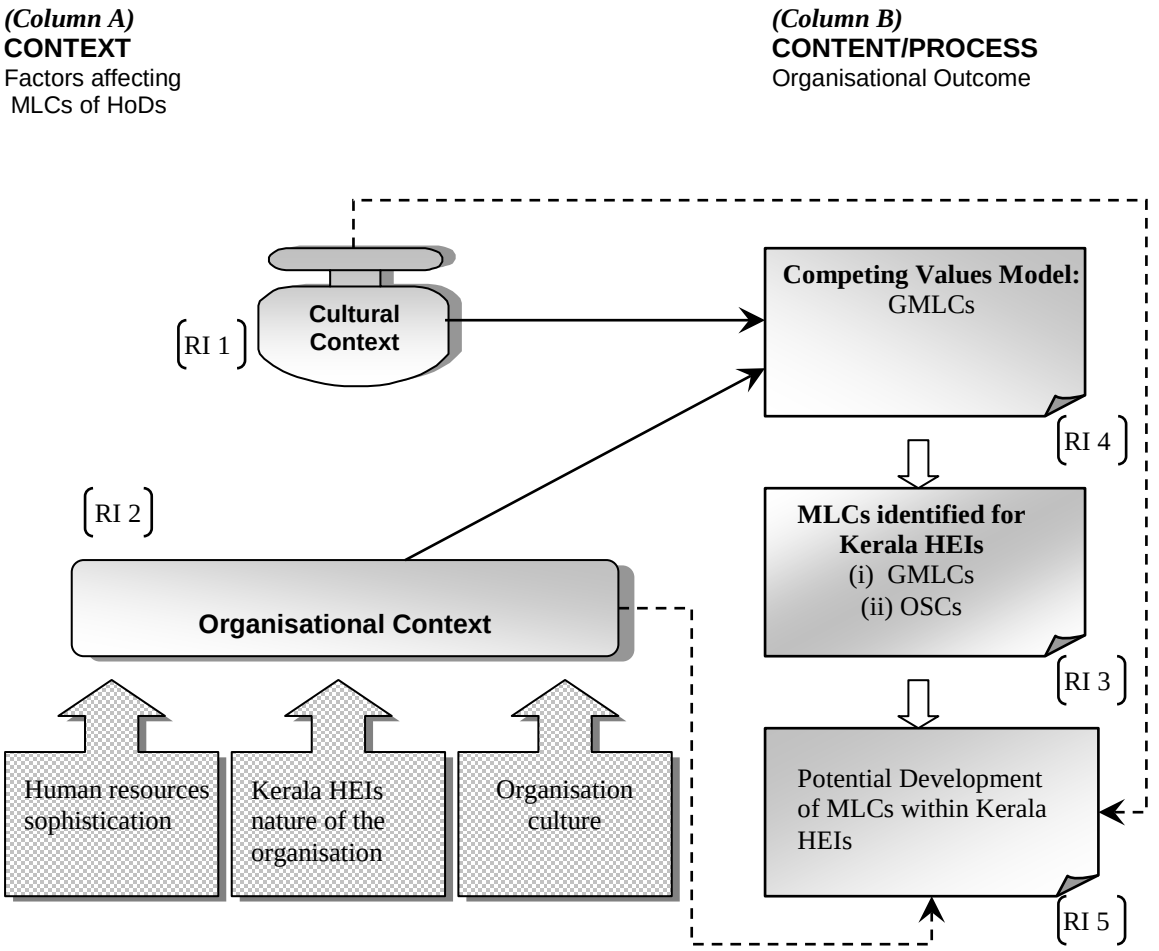
3.5.3 The process: MLD

As discussed in section 3.2.3, a number of authors have identified different forms of MLD. For this study the list prepared by Dhorranintra (1999) will be used in this study to partly identify the process of developing MLCs in HoDs.

3.5.4 Preliminary theoretical framework

Having discussed the individual components of the preliminary theoretical model, in the sections above, the model and the five research issues are presented below in Figure 3.6.

Figure 3.6: *Preliminary theoretical framework derived from the literature*



(Developed for this study)

3.6 Research issues

As indicated throughout the literature review, five research issues have been identified which arise from the research question, the preliminary theoretical model, and which address gaps in the literature. The five research issues are:

RI 1 What is the cultural context within Kerala?

RI 1.1 What are the implications of the cultural context on development of MLCs?

RI 2. What is the organisational context of Kerala's HEIs?

RI 2.1 How does the organisational context impact on the development of MLCs?

RI 3. What are the MLCs required by HoDs?

RI 4. How do the required MLCs at Kerala HEIs differ from those identified in the literature?

RI 5. How can Kerala HEIs develop the MLCs of HoDs?

3.7 Summary

In this, and the previous chapter, the literature related to the study's field of interest has been described. Further, the context - culture - Indian and Kerala culture, and the HES, as well as the context - the MLCs and process - MLD have been reviewed before proceeding to the research problem theory area. After reviewing the research to date, gaps in the research have been identified. The research question for the study and the associated research issues were identified. Lastly the prior theory reviewed in this chapter has been developed into a preliminary theoretical framework for the study. The methodology employed in this study, is presented in Chapter four.

Chapter Four: Methodology

4.1 Introduction

In Chapters two and three the literature was reviewed, the research problem theory was discussed and the research question and issues were delineated. This chapter will build on the overview given in section 1.4 and describes the research design and methodology used to undertake research into the MLCs of HoDs at Kerala HEIs. The chapter begins with a justification for the research paradigm (4.2), and then the justification for the use of a case study approach and the research methodology (4.3) are presented. Next, validity and reliability issues are raised in considering the criteria for judging the research design (4.4), and then the role of prior theory is discussed (4.5). In subsequent sections, case selection and the number of cases (4.6); data collection; the development of the case study protocol and use of the case study (4.7); and pilot interviews (4.8) are discussed. Data analysis (4.9) and the limitations of case study research (4.10) are outlined. Ethical considerations of the study are discussed (4.11) before the chapter summary (4.12).

4.2 Justification for the research paradigm

Research is grounded on philosophical perspectives, and it is thus important to briefly consider the philosophical issues underpinning this study (Amaratunga & Baldry 2001). Research paradigms are of importance in setting the foundations of the research process (Guba & Lincoln 1994). There are a number of paradigms to research methodology and they are positivism; realism; critical theory; and constructivism (see Table 4.1).

Table 4.1: *Research paradigm for this study*

Research Paradigm	Description
Positivism	Belief in a set of specific methods to discover and measure independent facts about a single reality. It is commonly characterised by a deductive method of inquiry using value-free, statistical generalisations to confirm theory.
Realism	Belief in knowing that reality influences people's social interpretations and behaviours, though this may not be certain. Constructs various views of this reality, including direct realism, i.e. that senses portray the world accurately and in critical realism, an experience of images of the real world. Focuses on inductive approach to building theory.
Critical theory	Belief that researchers and their subjects are linked, with the belief system of the researcher influencing the study. Thus there is no objective or value-neutral knowledge as all claims are relative to the values of the researcher.
Constructivism	Belief that there are multiple realities, which are socially and empirically based and that knowledge is theory-driven, so that a separation of researcher and research subject/object is not feasible, nor is the separation between theory and practice.

[Adapted from Reige (2003) and Saunders, Lewis & Thornhill (2007)]

Realism is the preferred paradigm for case study research "as it usually involves the collection of perceptions of 'unobservable' external world phenomena", (Perry 1998 p787) as in the case of participants' perceptions of the MLCs required for them to capably carry out their work functions. Realism, particularly critical realism, has growing acceptance in the management field as critical realists take a position that the world is constantly changing (Bryman & Bell 2007; Saunders, Lewis & Thornhill 2007). This is consistent with the need to understand organisation and the members within them in order to understand processes and how to change them (Perry 1998; Saunders, Lewis & Thornhill 2007). A critical realism approach is thus appropriate for this study in considering the identification of MLCs within Kerala HEIs.

It is important to also consider the framework and the rules which guide the researcher in the study (Perry, Riege & Brown 1999). The research paradigm can encapsulate how the world is interpreted and the relationship between the inquirer and the known (epistemology); how the nature of reality is perceived (ontology); and how knowledge is gained (methodology) (Guba & Lincoln 1994) all summarised in Table 4.2.

***Table 4.2**: Realism research paradigm framework*

Questions	This Study's Position
Epistemology	
How we interpret the world and the relationship between the inquirer and the known?	As primary data was being collected by interview, an interpersonal relationship existed between the researcher and participants. As the researcher is 'external' to the case organisations no organisational, political, caste or religious bias was present (Huberman & Miles 1994). Information from participants was collected by semi structured interview and in open ended questionnaire form which was recorded in note form and reviewed by the interviewee to reduce any potential bias and to increase accuracy especially as interviewees were interviewed in English (a second language for participants).
Ontology	
How the nature of reality is perceived?	This study assumes that reality exists and that MLCs can be identified, even though these may be imperfectly identified by the participants. Thus, two ways of collecting data (via interview & analytical tool) from the participants have been included in the study. In addition data has been collected from various available documents and websites.
Methodology	
How knowledge is gained?	This research is qualitative in nature as it focuses on the complex nature of MLCs within Kerala HEIs with the specific purpose of describing and understanding the MLCs needed from the participants' point of view. Research questions originate from the standpoint of the people being studied, and those in the immediate reporting line (superiors and subordinates), not that of outsiders. Specifically a case study approach was undertaken with six HEIs in the state of Kerala. Multiple interviews were conducted within each HEI. Triangulation of the interviewees' perceptions occurred with multiple sources of evidence- six HoDs, multiple cases, interviews of Superiors and FG participants.

[Adapted from Guba and Lincoln (1994 p108)]

4.3 Justification of the methodology

Case study research refers to an approach that has both a specific philosophical orientation and also a set of qualifying guidelines (Perry 1998; Remenyi et al. 2002; Yin 2003). More recently, Dul and Hak (2008 p4) describe a case study as

> "a study in which a case or a small number of cases (a comparative case study) in their real life context are selected and that results are analysed in a qualitative manner".

The objective of case study research is to obtain multiple perspectives of the subject under study, at a particular point in time (Cooper & Schindler 2006). Case study research allows researchers to examine complex, contemporary topics relevant to their work and where there has been little published research (Partington 2002). The case study offers the opportunity to create the case as the central object of study within real life events (Gummesson 1991; Yin 2003). Case study research thus has the advantage of being able to offer both insights and in depth contextual descriptions that might not be achieved with other approaches (Jensen & Rodgers 2001; Macpherson, Brooker & Ainsworth 2000; Rowley 2002; Simon, Sohal & Brown 1996; Voss, Tsikriktsis & Frohlich 2002).

There have been calls for greater use of qualitative data and analysis in the study of leadership (Parry 1996). A need for the greater use of descriptive methods including interviews and case studies is suggested by many critics of questionnaire correlated research [e.g. Bryman et al 1988; Luthans et al 1985; Morgan and Smircich 1980; Strong 1984 cited in Yukl (2005)]. Case study research has thus gained acceptance as a legitimate methodology in the study of organisations (Brunetto 2001). Thus for this study, case research is the most appropriate methodology as it meets the conditions, outlined below in Table 4.3.

The methodology used in this case study follows the recommendation of Yin (2003) and has four stages: design the study; conduct the study; analyse the evidence; and develop conclusions, recommendations and implications. In addition, guidelines put forward by Foddy (1996) are used for development of interview questions.

Table 4.3: *Justification of case study research for this study*

Condition	Rationale
The research is focused on contemporary events	This study seeks to identify the MLCs required of HoDs within Kerala HEIs and how these can be developed. It is thus concerned with real life in the current organisational context.
The research wants control over behaviour	This research is designed to systematically interview HoDs and other participants within a real life setting of the HEI within Kerala and thus no manipulation of behaviours was undertaken.
The research is based on theory building rather than theory testing.	Although this research uses prior theory to guide the data collection process in terms of the establishment of research issues and in development of questions in the interview protocol, the study is primarily inductive by nature and has as it purpose theory building (section 3.5).
Type of generalisation is analytical rather than statistical.	This study intends to generalise the results to a broader theory (Yin 2003) rather than to generalise the results to a population as in statistical generalisation. In other words the study is designed to provide evidence to support or reject the proposition that organisational and cultural factors impact on the required MLCs of HoDs in Kerala HEIs and does not intend to prove it definitely (Perry 1998).

[Adapted from Hastings (2004)]

The activities done for this study and the guidelines followed are outlined in Table 4.4.

Table 4.4: *Guidelines for development of questions in interview protocol*

Guideline	Activities done for this study
Researcher has clearly defined the required information	Conducted literature review Established theoretical model Prepared semi structured interview questions Ordered questions from more generic to specific.
Respondents have the required information	**Assumptions made** HoDs are knowledgeable about their own MLCs Superiors and followers have opinions about the HoD role.
Respondents are capable of verbalising the information the researcher wants under the conditions of the research situation	All interviewees were fluent in English (spoken and written) Interviewees knew the researcher to be impartial to the political and organisational situation as she was a foreigner. As well, Indians have been described as hospitable and highly tolerant of foreigners (Budhwar 2001). Additional time was allowed for a second interview if required.
Open questions were used	The majority of questions developed were open-ended questions.

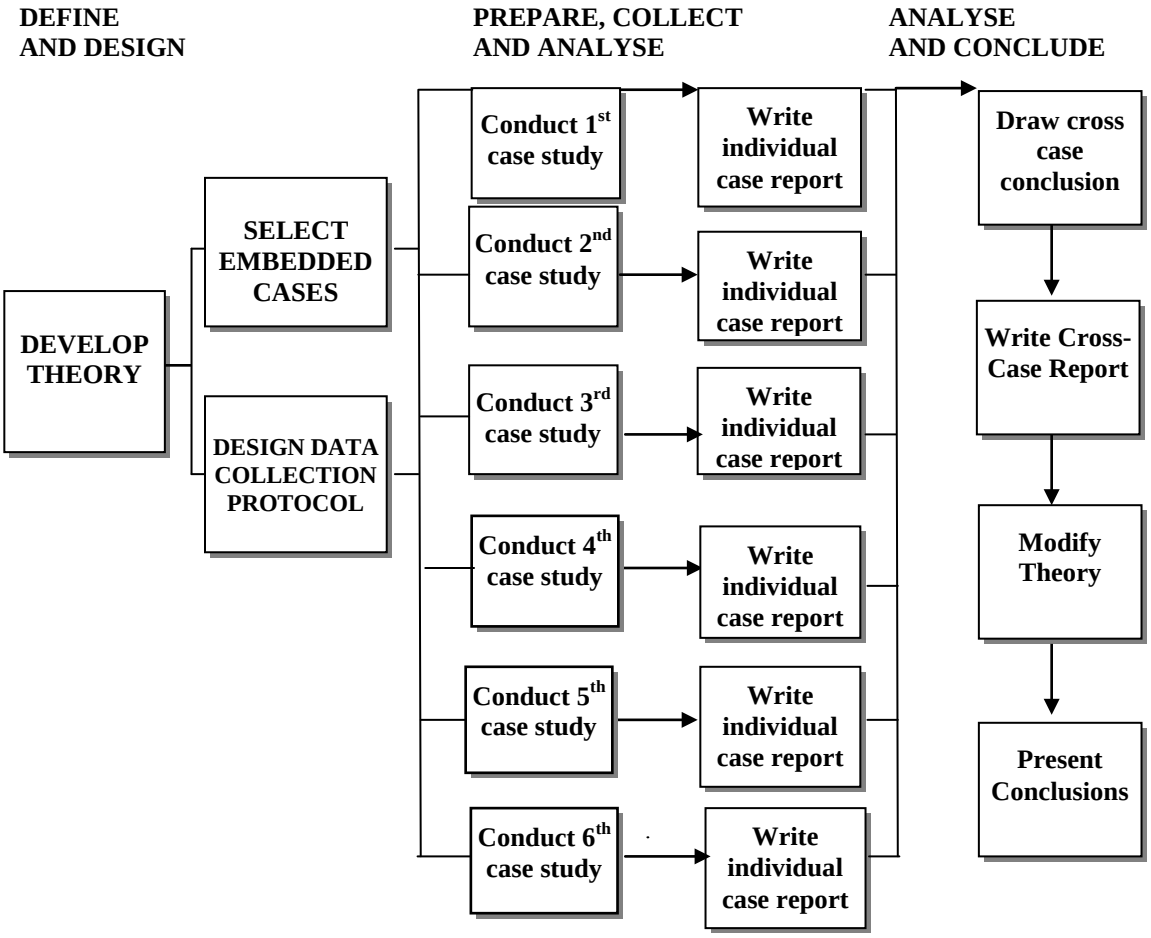
[Adapted for this study from Foddy (1996)]

Typically, case study research uses multiple data sources including at least two of: direct detailed observations, interviews, questionnaires and documents (Cooper & Schindler 2006; Eisenhardt 1989; Rowley 2002). In this study the two main sources are in depth

interviews and questionnaire – an analytical tool developed for this study (see section 4.7.1.3).

Participants for in depth interviews are usually chosen because their experiences and attitudes will reflect the full scope of the issue under study and as such they need to be verbally articulate (and, in this study, fluent in English), in order to provide richness of data (Patton 2002). The in depth interviews thus seeks to probe more deeply by: encouraging the respondent to talk, asking probing questions, and seeking clarification of respondents answers (Ticehurst & Veal 1999). This is important within the Indian context due to the cultural communicative style of respondents who may respond with the answer they feel is appropriate (i.e. stemming from politeness) rather than their actual perception (Kolanad 2003). The use of in depth interviews as well as the *analytical tool* all work to collect in-depth contextual data. Figure 4.1 illustrates the key aspects of the case study research design used in this study.

***Figure 4.1**: Case study method*

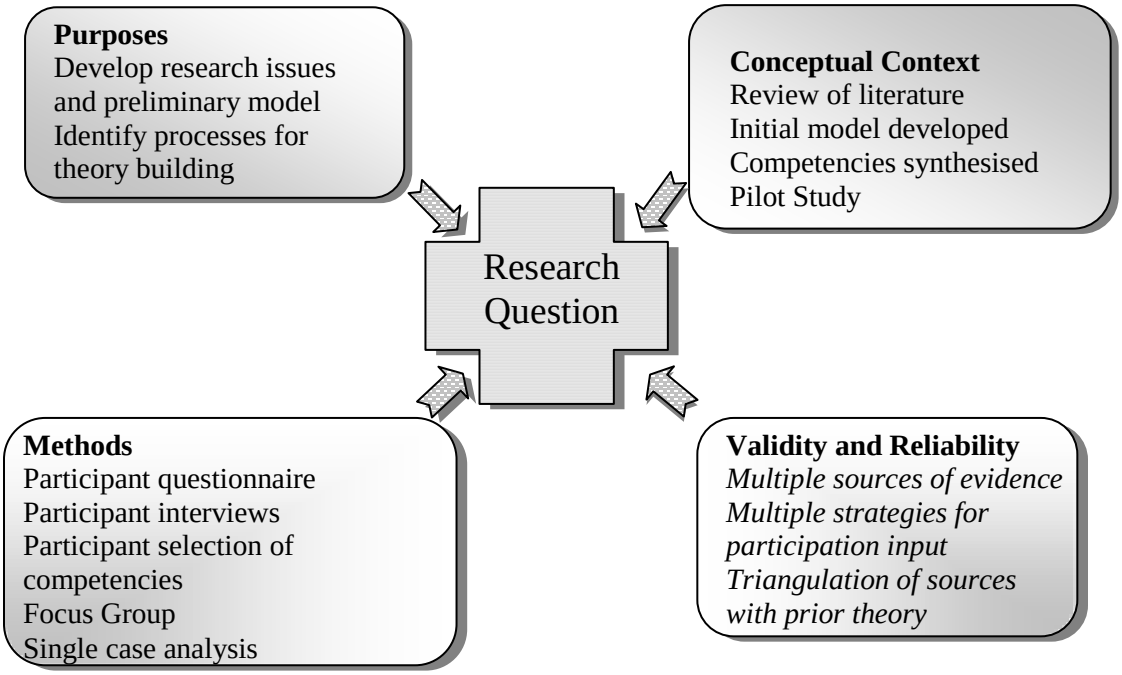


[Adapted from Yin (2003 p 50)]

4.4 Criteria for judging the research design

Validity and reliability can be achieved in case study research providing that the research design is rigorous (Eisenhardt 1989; Hastings 2004; Yin 2003). In this section, the research design and criteria are outlined. Data verification, cross case analysis, reliability and generalisation are all described to demonstrate the rigour of the research. The approach to the study is summarised in Figure 4.2, with the relevant validity and reliability issues highlighted in italics.

Figure 4.2: *Research design for study*



[Adapted from Maxwell 1996 in Erwee et al (2005)]

There are four design tests to establish the quality of qualitative research - confirmability, credibility, transferability and dependability (Riege 2003). The strategies employed in this study, against each of these criteria, are summarised below in Table 4.5.

Table 4.5: *Judging the research design*

Qualitative Design Test	Definition	Strategies Employed in Study
Confirmability	Assesses if the interpretation of data is drawn in a logical and unprejudiced manner and that the conclusions are the most reasonable ones obtainable from the data.	1. Literature review 2. Initial theoretical framework developed 3. Use of Quinn's CVM and multiple sources of evidence (5) from literature confirming the identified MLCs 4. Established and tested interview protocol with set probe questions 5. Chain of evidence 6. Analysis of data seeking patterns that can be cross- referenced.
Credibility	Involves the approval of research findings by either interviewees or peers as realities may be interpreted in multiple ways.	1. Use of multiple sets of experiences (replication) 2. Use of multiple levels of interviewees (HoDs, Superiors, Followers).
Transferability	Establishing the domain to which a study's findings can be generalised. This test is achieved when the research shows similar or different findings of a phenomenon amongst similar or different organisations thus achieving analytical generalisation.	1. Use of multiple sets of experiences (replication) 2. Analysis of data seeking patterns that can be cross-referenced 3. Replication logic through six embedded case studies 4. Use of case study research protocol 5. Define scope and boundaries of analytic generalisation 6. Compare evidence with extant literature.
Dependability	Demonstrating that the operations of a study - such as the data collection produced - can be repeated with the same results. This is achieved by thorough documentation of procedures and appropriate recording keeping.	1. Triangulation • Multiple sources of interviews • Multiple data collection strategies for participants • Multiple sets of experiences (HoDs, Superiors & Followers) 2. Interview protocol with set probe questions, tested in pilot study 3. Case study research database established with data collection and coding protocol, documented 4. Research design protocol and progress reviewed by supervisor 5. Demonstrate congruence between research issues and research design.

[Adapted for this study from Reige (2003), Rowley (2002) and Yin (2003)]

4.4.1 Data verification

A key issue which helps address the issue of validity in qualitative studies is data verification and in particular triangulation. Case study research is known as a triangulated research strategy, and triangulation can occur with data, investigators, theories, and methodologies (Foss & Ellefsen 2002; Johnstone 2004; Merriam 2002; Tellis 1997; Yin 2003). In this study triangulation occurs with data from multiple sources of evidence and in multiple sets of data collected from participants which is compared with data from the extant literature. Hence the variety of triangulation methods used in this research with its multiple sources of evidence and collection methods, all help to increase confidence in the conclusions reached (Huberman & Miles 1994).

4.4.1.1 Cross case analysis

One of the key elements providing this *thick* description (Riege 2003) is the use of cross case analysis of the six embedded cases being studied. Cross case analysis assists in generalisability and allows a deeper understanding and explanation. The approach is to conduct a cross case comparison by forming types of families; that is by inspecting cases in a set to see if they fall into clusters or groups that share certain patterns or configurations (Miles & Huberman 1994). Several strategies have been proposed for cross case analysis (Yin 2003 p32). The strategies utilised in this study are listed below:

(a) Replication: The study is replicated across six HEIs with varying characteristics,

(b) Multiple exemplars: Multiple examples from each case are bracketed together and then examined for common elements and components, and

(c) Forming types or families: Shared patterns or themes are established across cases.

4.4.2 Reliability and generalisation

One of the frequent criticisms of case study research is that of generalisation. Yin (2003) has refuted this criticism, arguing the difference between analytic generalisation and statistical generalisation. In analytic generalisation, previously developed theory is used as a template against which to compare the empirical results of the case study (Patton & Appelbaum 2003). If two or more cases are shown to support the same theory, then replication can be claimed and the greater the number of case studies that show

replication the greater the rigour with which a theory has been established (Yin 2003). This study thus addresses generalisation by the use of analytical generalisation and by the use of multiple cases to confirm or disconfirm the theory. The research findings would be generalisable to other HEIs in Kerala.

In summary, this study will address the validity and reliability concerns by using multiple cases, and multiple sources of evidence to ensure a stronger validity though triangulation of the data. Reliability will be demonstrated by the use of analytic generalisation and by the use of multiple cases.

4.5 Role of prior theory

Case study research methodology satisfies the requirement of theory building (induction) rather than theory testing (deduction). However, prior theory does have a critical role as it the first step in developing the theory process (Perry 1998). Case based research depends on a conceptual framework and prior theory (Yin 2003) for rigour and is therefore crucial to the overall research design for this study. In addition, the use of prior theory to establish a theoretical framework assists in the generalisation of the results of the case study (Eisenhardt 1989). The theoretical framework for this study has been formulated from a consideration of the literature (Chapters two and three). The role of prior theory in the study's theory building is highlighted below in Figure 4.3.

Here the extant literature in the relevant areas is examined to develop a preliminary theoretical model which combines some existing models from other research. In addition, prior theory is used to guide the development of the interview questions and to provide an *analytical tool* (section 4.7.1.3) to support data collected by interview. A review of the literature identified the prior theory, for this study, which was used to prepare an initial theoretical model, to structure interview questions and to formulate an *analytical tool*. Thus prior theory can be considered as providing additional evidence for triangulation. All of this is illustrative of the deductive process which is the first stage of the theory-building process (Perry 1998). From this the Researcher used the data collected to move to a theory being generated from the six embedded cases through cross-case data analysis (Perry 1998). This process can thus be described as a 'theory/ data/theory revision cycle' (Bonoma 1985 p204). This two-step, theory building position

is thus appropriate for analytic generalisation as "the investigator is striving to generalise a particular set of results to a broader theory" (Yin 2003p 37).

Following pilot interviews, these tools are used in the confirmatory/disconfirmatory stage for data collection and analysis. Following this stage and final confirmation by HoDs and focus groups (FGs) a final theory was developed for later testing (Chapter six).

The use of prior research in this study enabled the development of an appropriate research question from which various research issues arose. Prior theory thus played a role in providing direction for the data collection processes (Yin 2003), which then enabled the cross case data analysis (section 4.4.1.1) to occur.

Figure 4.3: *Role of prior theory in the study's theory building*

	Stage 1: Exploratory Stage	**Stage 2: Confirmatory/ disconfirmatory Stage**	**Stage 3: Theory Testing**
Phase Five			Final theory developed for later testing
Phase Four		6 case organisations Interviews Follower Focus Group (FGF) HoDs Focus Group(FGH)	
Phase Three	Two pilot case study interviews Use of key informants		
Phase Two	Development of preliminary theoretical model Development of interview protocol from prior theory Analytical tool developed from prior theory		
Phase One	Research question and Issues Research problem theory Culture HES MLC Literature review	.	

[Adapted for this study from Perry (1998) and Eisenhardt (1989)]

4.6 Case selection

In this section, the approach to case selection is described, firstly by defining the case and the number of cases; describing the six embedded cases and the research case matrix and considering sampling and the number of interviews.

4.6.1 Defining the case

The unit of analysis is a critical factor in case study research as it both defines the case (Hastings 2004) and reflects the research problem (Eisenhardt 1989). Yin (2003) recommends that the selection of the unit of analysis be one that is comparable to findings in the literature. In the case of complex, multi-organisational cases across multiple locations (such as in this study) a way forward is to define a unit of analysis as the main case and define sub units as embedded cases that can be used for data comparison (Scholz & Tietje 2002; Yin 2003). An embedded case can be defined as a smaller case study embedded in the unit of analysis, the large case study (McPhail 1999). Thus for this study the unit of analysis is organisational, that is, each embedded case is an institution from the HES in Kerala, India which is the main case under study.

4.6.2 Number of cases

In qualitative case study research whilst there are no precise guidelines for the recommended number of cases a review of the literature suggests that authors fall into one of two positions. Firstly Patton (1990) suggests that there are no rules for sample size. Kerssens-van Drongelen (2001) comments on the need for research to be not only be effective but also efficient, thus replication should not be exaggerated. In contrast, Hedges (1985) sets an upper limit of 12 cases due to the high costs involved in interviewing and also because of the quantity of qualitative data. The ideal range appears to be between four and 10 cases - up to 15 (Eisenhardt 1989; Perry 1998).

As suggested a number of authors have argued that it is a judgement call as to when 'saturation' is reached (Hastings 2004; Merriam 2002), however Perry (1998, p12) states that "their views ignore the real constraints of time and funding in postgraduate research". Indeed, accessibility of some of the case organisations in Kerala remained a logistic problem and had to be reached by train journeys of between four and 12 hours.

Six cases were selected for this study in order to give maximum variation. The six cases were chosen based on extreme situations or polar types.

4.6.3 Case descriptions

The selection of each of the cases has been conducted based on the Government of Kerala Education website which lists all the HEIs within Kerala (refer Appendix A). In selecting the six cases four key selection criteria, suggested by Berg (2001), have been met:

(a) ***Entry or access is possible***. All six HEIs granted permission to interview staff,

(b) ***Appropriate people are available.*** Consent forms were received from relevant HoDs, Superiors and FG members,

(c) ***High probability that the case organisation and people are available for the study.*** All organisations co-operated in making personnel available to the researcher, and

(d) ***Research could be carried out effectively.*** All organisations were confined to the state of Kerala and were able to be visited in periods of four to five days to collect data.

For the four universities, there were two state general universities (Cases A & B), one large university based in the capital of the state (Case A) and one medium sized university in regional Kerala (Case B); one specialist 'central model' university (Case C) and one 'deemed university' (Case F) Six colleges in Kerala have been declared as centres of excellence (CPE). The two colleges (Cases D & E) come from these six CPEs, one a government college (Case D) and one private aided college (Case E). In addition, the three universities (Cases A, B & C) selected for inclusion for this study are accredited universities (refer Appendix A). Table 4.6 below provides a breakdown of case type.

According to Perry (1998) maximum variation sampling should include very extreme cases and this has been satisfied in this study by the inclusion of a 'deemed university' (Case F), National Institute of Technology Calicut (NITC), which is deemed to be of the status of a university and is in the process of translating from a college into a university; and two CPEs (Cases D & E). Thus the six cases are selected to replicate or extend the emergent theory. Finally, the selection of cases was influenced by Patton's (2002 p185) assertion that "the validity, meaningfulness and insights generated from qualitative

inquiry have more to do with the information-richness of the cases selected and the observational/analytical capabilities of the researcher than with sample size".

Table 4.6: *Types of cases*

Type of HEI	Case A	Case B	Case C	Case D	Case E	Case F
State university	University of Kerala (UoK)	Mahatma Ghandi university (MGU)	Cochin University of Science & technology (CUSAT)			
College CPE Government				University College (UC)		
College CPE Private aided					Mar Ivanois College (MIC)	
Deemed university						NIT Calicut (NITC)

(Developed for this study)

4.6.3.1 Research case matrix

As discussed in the previous section, each of the embedded cases selected have been chosen with maximum variation in mind in order to determine if literal and or theoretical replication can be made. In relation to the two contextual factors identified in the theoretical framework (Figure 3.6), culture can be hypothesised to result in literal replication whilst the size and type of organisation may be considered to have either theoretical and literal replication within the study (Hastings 2004). The research matrix is used to identify case members. The identified dimensions to assist in the literal or theoretical replication were derived from the literature review, the research problem and research issues:

Dimension 1: University type

Dimension 2: Size.

The literature suggests a relationship between size of organisation and HRM sophistication (section 3.5.1). For this study, size is based on number of departments within the organisation, and total student figures. Type includes all available types of HEIs in Kerala - refer Table 4.7 below.

Table 4.7: *Example of theoretical and literal replication of the case studies*

	General University	**Specialist University**	**Deemed University**	**CPE**
Size				
Medium	1	0	1	1
Large	1	1	0	1

(Developed for this study) Total N=6

The matrix illustrates replication by allowing the cases to be analysed vertically and horizontally (Hastings 2004). HEIs will have varying organisational context (state/federal model), and medium or large (a predictable difference). A predictable difference will also be seen between columns (i.e. between type). Literal replication is illustrated within each row - e.g. all large institutions (a predictable similarity).

4.6.4 Sampling

Case study research is not sampling research (Tellis 1997), however selecting cases must be done in a way so as to maximise the efficiency of the study in the period of time available (Cooper & Schindler 2006 ; Patton 2002; Rowley 2002; Yin 2003). Patton (2002) recommends a purposeful sampling approach to select cases with maximum variation, and therefore in this study purposive sampling has been used. This is supported by Perry (1998) who additionally suggests selecting information rich cases. Convenience sampling was used for the selection of the pilot interviews (section 4.8).

4.6.5 Number of interviews

The number of interviews suggested for a post graduate study is approximately 30 to 45 (Cooper & Schindler 2006). The number of interviews for this study is shown in Table 4.8, giving a total of a purposeful sample of 44 interviews, with 36 of these being HoDs from the case organisations, six being superiors of the HoDs, and two members of the university syndicate. The sample selected is not proportional to the number of decision makers within the university but represents an acceptable number of interviews, whilst not taxing the organisation under study. The interview matrix is outlined below in Table 4.8.

Table 4.8: *Interview matrix*

	Dimension 1: Type						
	General University		**Specialist University**	**Deemed University**	**PCE**		
	Dimension 2: Size						
No of Interviews	Med	Large	Large	Med	Large	Med	
HoDs	6	6	6	6	6	6	
VC or Pro VC	1	1	1				
College Principal				1	1	1	
Director							
Syndicate Member[4]	*N.A*	*1*	*1*	none	none	none	
Total Number	*8*	*9*	*8*	*7*	*7*	*7*	***= 44***

(Developed for this study) N.A= not available

4.6.5.1 Sampling of interviewees

Each HoD (codes 001 - 006) was approached on a convenience basis (i.e. agreement to participate in the study and/or availability for interview during the visit period), until six interviews had been conducted. Table 4.8 (above) provides the breakdown of interviews by type and by case organisation. HoDs were suggested who meet the following criteria: a) willing to participate in study, b) able to converse fluently in English, and c) available during the period of the site visit. In addition, superiors of the HoDs (code 007) were interviewed in all six cases and where applicable, and possible, Members of the Syndicate (2 of 3 University Cases) were also interviewed (code 008)[5] The Syndicate members were based on convenience sampling as and when they would be available for interview during the site visit.

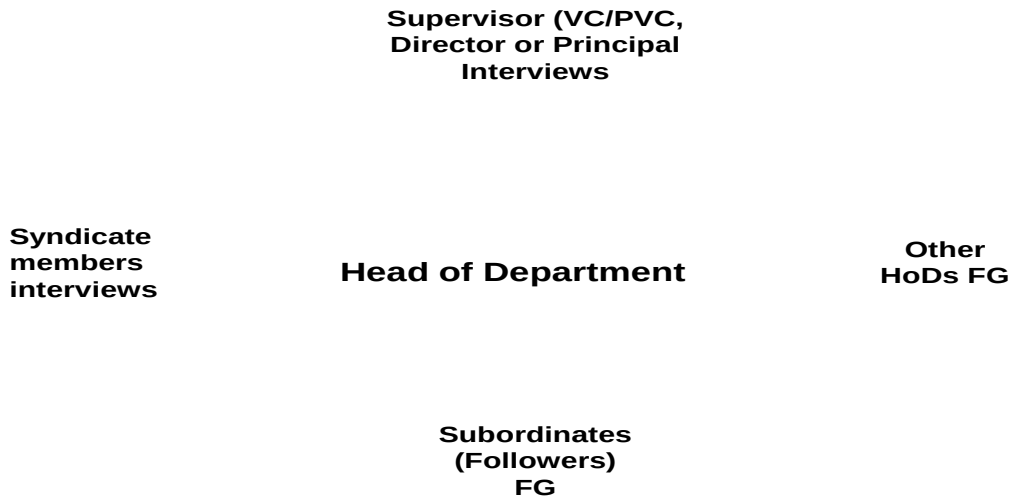
The respondents have been selected to provide a 360o view on the role of HoDs. This relationship is outlined below in Figure 4.4. Respondents were generally interviewed on a one to one basis with the exception being other HoDs and followers whose input was determined by focus group (refer section 4.7.1.4).

Each of the participants outlined above were interviewed to gain a multiple set of experiences in order to provide a 'thick description' of both context and content and to triangulate the data. In addition, four key informants were used to guide the appropriateness of the methodology for the HES context. They were: two members of

[4] A syndicate member is a staff member voted for a period of three years onto the syndicate, which is the executive body of the university.
[5] At MG University the new Syndicate had yet to be convened.

the research department of the AIU, New Delhi; and a HoD and Public Relations Officer at the University of Kerala (refer **Appendix B**).

Figure 4.4: *Triangulating the data via a 360o approach*



Italics indicates information collected by 1:1 interview
(Developed for this study)

4.7 Data collection procedures

In this section the various data collection procedures used for this research are outlined. This includes details of the principal element of data collection, that is, the structured questionnaire and interview protocol, and the *analytical tool* – ***Kerala Universities And Colleges Analytical Tool*** (*KUACAT*) - developed for this study, as well as collection of sources of documentary evidence. The case study and interview protocols are described and the development of interview questions and the format are explained. The data base and chain of evidence is outlined and the use of FGs is delineated.

The principal elements of the overall research methodology for this research were two fold: firstly in-depth individual interviews, secondly using the *KUACAT* for selection of MLCs, national and organisational cultural descriptors and MLD. Other sources of evidence came from supplemental interviews with other stakeholders (Vice Chancellor, Pro Vice Chancellor, Principal or Director of the HEI; and the Member of Academic Council - the Syndicate, as applicable). These interviews were further augmented by secondary data sources – i.e. university/college and government publications, statutes, web sites, press releases, reports and reference diaries.

4.7.1 Case Study Protocol

The case study protocol for this study has the following:

a) a brief overview of the case study project,

b) field procedures,

c) case study questions or interview protocol (section 4.7.1.1), and

d) a guide for the case study report (Yin 2003).

The complete case study research protocol is provided in **Appendix C**.

4.7.1.1 Interview protocol

An interview protocol is key to enhancing the rigour of collection of data, particularly in multiple cases (Yin 2003). An interview protocol was developed using prior theory in the exploratory stage (refer Figure 4.4) to provide a guide for the semi structured questions. This interview protocol was used for the HoDs and can be found in **Appendix D**. A reduced version, based on the HoD interview protocol, was used for the Superiors in order to reduce the time taken for interview. The analytical tool - *KUACAT* was not administered to the HoD Superiors' due to time constraints.

Interview questionnaire

Structured questionnaires have the advantage of providing respondents with a common set of prompts and producing data that can be easily analysed whilst unstructured questionnaires allow respondents more opportunities to fully reflect their own views (Alvesson & Deetz 2000; Hayes, Rose-Quirie & Allinson 2000). This study combines both of these approaches to provide a semi structured interview approach. The questions provided a direction to focus on the research issues; however where new information was uncovered further probing or discussion occurred outside of the range of questions identified in the protocol. The use of a prepared interview protocol (Yin, 2003) helped the reliability of the study by guiding replicability and provided a reliable framework for cross-case analysis of data. The inclusion of some Likert scaled questions assisted in summarising the overall perceptions of the participant (Perry 1998) and the use of *table shells* (Miles & Huberman 1994) allowed for identification of the data sought and ensured parallel collection of data at each of the six case sites (Yin 2003).

Interview format

The interview format for the HoDs has two parts:

1) a semi structured open interview, where the participant is given the opportunity to talk without prompting in the initial stages (Perry 1998), and
2) a selection of relevant MLCs, organisational descriptions, cultural dimensions and MD activities from the *KUACAT* (Appendix F).

The interview format, in this study, comprised of a one to one interview which typically ranged from 45 minutes to 1.25 hours depending on the interviewees' availability and also the amount of information disclosed. *Due to interviewee time constraints not all items of the KUACAT or interview questions were asked consistently at all interviews, though this was standardised as far as possible*. In using face to face interviews this allowed the opportunity for the researcher to:

a) observe body language to judge where clarification was required to assist interviewees in completing the *KUACAT*, and
b) assist in the interpretation of some complex words in the *KUACAT* (this is particularly important as the *KUACAT* duplicated phraseology and vocabulary from original sources and all interviewees have English as a second language so, at times, some explanation needed to be given).

Participants were first given a short rationale for the study and a definition of the term 'competency'. Semi structured questions were used (refer Appendix D) and at appropriate places in the interview, the relevant section of the *KUACAT* was presented for completion. From a logistical point of view this was important, so that the information could be captured in one sitting given that communication with individual HoDs and adherence to appointments were identified constraints in the data collection process.

The participant interview was designed in this order to first gain unguided impressions from the participant. This process of convergence triangulates the data collected and strengthens the validity. This is important as there was no audio recording of the interviews so the Researcher had a written source from the analytical tool to enhance notes taken at interview. After completion of the interview, the Researcher went through the notes and expanded as required on the notes made at interview based on recall of the content. Participants were asked to sign an interview form noting the date that they had been interviewed, and also initialled each of the sections of the *KUACAT*. Details of the interviewees and the interview schedule can be found in **Appendix E**.

4.7.1.2 Development of interview questions

The interview questions are derived from the research issues identified in section 3.6 and is part of the exploratory stage of theory building (see Figure 4.4). In addition to drawing on prior theory, two interview formats have been adapted for this study (Barner 2000; Erwee et al. 2002). Barner (2000) argues that leadership competencies should be linked to business strategy. In this way the 'demand features' of the organisations' leadership positions are identified (Barner 2000), prior to consideration of the more specific issues of MLCs. A number of questions used by Erwee et al (2002) to establish competencies at the University of Southern Queensland (USQ), Australia, have been adapted for this study. Lastly various authors' work have directed specific questions in relation to the research issues for this study (Chowdhury & Bose 2004; Fisher, Shiroleacute & Bhupatkar 2001; Gupta 2004a; Kumar 2005; Mahadevan 2005b; Pareek & Rao 1992).

4.7.1.3 Kerala Universities and Colleges Analytical Tool (*KUACAT*)

This tool was specifically developed for this study (refer **Appendix F**) with five sections covering: a) demographic data; b) competencies; c) organisational culture d) culture and e) ways to develop MLCs. The second section, on competency identification, was constructed using Quinn et al's (2003) CVM as a framework. As noted in section 3.5.2.4, following the approach taken by Hammons and Murry (1996) this framework was also validated with at least five other studies for each of the 24 competencies.

The *KUACAT* allowed HoDs at Kerala HEIs to select MLCs from the master list which they felt were required for their current job as HoDs. The list was presented without reference to Quinn et al's (2003) competency type so that the label did not influence selection by the participant. This enabled data to be collected for R I 4.

The third and fourth section of the *KUACAT* was designed to address R I 2 and thus assist in understanding of the impact of organisational culture on the identification of MLCs (column A Figure 3.6). The third section was based on an instrument developed from the CVF (Quinn & Spreitzer 1991) designed to measure perceptions of the organisational environment. The 16 item instrument uses a Likert scale and generates a standardised organisational profile (Lamond 2003). In part four of the *KUACAT* the Hofstede modified cultural model (Hofstede 1980) has been used as the basis for questions in regard to R I 1- culture (refer 2.2.5.1). The fifth dimension of Hofstede and Bond (1988)

was not specifically addressed in this study, as the work of Trompenaars (1997) has been used for the measurement of time orientation as this was not part of Hofstede's original four cultural dimensions tested. Lastly in part five, a short instrument developed from Dhorranintra (1999) was used to address R I 5.

As two of the key informants for the study had advised that face to face interviews may result in a lack of candour by participants as they would be reluctant to "give a poor impression of their organisation to an outsider" (Anand, DR 2005, pers. comm., 2 August), the use of the *KUACAT* was important in strengthening the verbal information given by the interviewees. The use of *KUACAT* enabled further triangulation of the data from the literature. Each research issue related to the questions is indicated within the interview protocol and/or section of the *KUACAT* and these are summarised in Table 4.9.

Table 4.9: *Relationship between research issues, interview questions and analytical tool*

Research issues developed from prior theory (Chapter 2 & 3)	**Relevant interview questions**	**Relevant section of *KUACAT***
1. What is the cultural context within Kerala?	Qu. 25	Part 4: Culture
1.1. What are the implications of the cultural context on development of MLCs?	Qu. 26-27	N.A
2. What is the organisational context of Kerala's HEIs?	Qu. 11-20	Part 3: Organisational culture
2.1. How does the organisational context impact on the development of MLCs?	Qu. 21-24	N.A
3 What are the MLCs required by HoDs?	Qu. 1-10	N.A
4 How do the required MLCs at Kerala HEIs differ from those identified in the literature?	N.A	Part 2: Identification of MLCs
5 How can Kerala HEIs develop the MLCs of HoDs?	Qu. 28-29	Part 5: Development of MLCs

(Source: Developed for this study from KUACAT and interview protocol)

In summary, data was collected via interview using an open ended interview protocol and also by an analytical tool developed for this study, the *KUACAT*. The *KUACAT* included the use of table shells and Likert scales. These collection methods captured data to answer the five research issues identified from the research question.

4.7.1.4 Focus groups (FGs)

A focus group can be an alternate to panels to determine competencies (Chandramouly 2002). FGs present advantages for this type of research in terms of savings in time, flexibility, group interaction and the active role of the researcher in addressing a research problem (Erwee et al. 2002; Healy & Perry 2000; Riege 2003). FGs provide the opportunity for the researcher when only a one–shot collection is possible (Berg 2001), as in this study. Two FG were conducted for this study. A FG of HoDs (FGH) was used to validate the findings from the HoD interviews. The FGH members were presented with select preliminary findings in regard to MLCs from the HoD interviews (refer **Appendix G**). The FGH was complemented by a focus group of followers (FGF). Data collected from followers in the form of a separate FG is regarded as important due to high power distance (see 2.2.3.1) in Indian HEIs. Followers may not have felt comfortable with a one to one interview as it may have given the impression of followers commenting on individual performance of HoDs.

For logistic purposes, the FGF members were drawn from Case A, a university, and other HoDs were drawn from Case D, a college, both located in Trivandrum, the capital of the state. The Researcher personally canvassed HoDs and academic staff at both sites to attend the FG. The FGs were held after the completion of all interviews and after preliminary analysis had occurred so that these select findings formed the basis of the discussion. The FGs were held on site, for both cases, to minimise travel for the participants. The Researcher was assisted in the collection of data by an observer who, along with the Researcher, recorded the group results.

4.7.1.5 Case study database and chain of evidence

The data base in this study includes case research notes, interview notes, *KUACAT* response forms and documents collected from the case organisations (Rowley 2002). It was important to develop the procedures for this database prior to data collection to ensure the multi-case process was consistent and complete (refer Appendix C).

The maintenance of a chain of evidence was also considered. The relationship of the evidence to the relevant section in the dissertation needs to be maintained by appropriate citation of documents and interviews (Rowley 2002; Yin 2003). The Researcher took special care in the data reduction process to ensure the link between the raw data and the

classification was maintained by placing the corresponding code on the data forms and thus maintaining the evidence trail. Additionally, the Researcher reviewed the research notes after each series of interviews, which assisted the Researcher in adding additional content during the revision (Huberman & Miles 1994). The recommendation of Huberman and Miles (1994) were followed by marking on the original hard data form, the patterns and themes and then transforming this electronically for each interview.

4.7.2 Cultural and physical constraints on data collection

In this section the cultural and physical constraints for this study are presented. Firstly the issue of use of an audio recording is discussed and then issues to do with the physical environment are presented. Lastly, lack of documentary evidence, and lack of access to documentary evidence within the case organisations, is discussed.

4.7.2.1 Recording of data and physical constraints

Although an audio recording would have been a superior way of collecting data, it was felt to be inappropriate for this study due to both cultural and logistical problems. Perry (1998) as well as Ticehurst and Veal (1999) comment on the difficulty in gaining agreement from Asian interviewers for an audio recording. The potential for discomfort of interviewees as well as lack of candour if a tape recorder is used has been confirmed by Dr D.R Anand, and Ms Z.S Shafi, Indian Association of Universities (pers. comm., 2 August 2005). Also, Patton (1990) discusses the difficulty of audio quality. The field research for this study was conducted under the following conditions: open windows; open or partial doors; partial partitioning between offices; traffic and fan noise. Hence the ambient noise became a significant issue which would adversely affect the clarity of any audio recording, even with digital recording. Other work practices such as the answering of telephones and interruptions by others during the interview process compounded the complexity of accurate data collection from the interviewees.

Hence there is an acknowledgement that this methodology does not allow for control over the data collection environment (Yin 2003). The Researcher therefore followed Patton's (1990) recommendations in regard to note taking (i.e. note actual quotations in quotation marks; pause the interview to take down the real words; and ask interviewee to verify these on the spot).

4.7.2.2 Collection of documentary evidence

Yin (2003) suggests that within case study research data collection can be strengthened by a study of relevant documents and for this study may include position descriptions, organisation charts, HR policies and procedures, and or reviews as available. However, one of the constraints in the data collection process was the relative dearth of availability of documents for the Researcher to review. Some of this was due to the lack of sophistication of the HR functions such as the absence of any HR policy or procedures documents and no position descriptions for the HoD in any of the six cases. At other times, the Researcher was not given permission to view or copy any documents that the interviewees may have considered sensitive. Thus access to documentary evidence was limited in this study (refer to Appendix J for sources of documentary evidence, for each case, that were available to the Researcher).

4.8 Pilot interviews

Due to geographical constraints, two pilot interviews with HoDs from the University of Kerala were conducted in lieu of a pilot case study based on the guidelines of accessibility and convenience (Yin 2003). As the primary purpose of the pilot study was to assist in the development and testing of the interview protocol (Berg 2001; Foddy 1996; Perry 1998; Yin 2003) this was considered appropriate for this research.

As all participants use English as a second language it was important that the pilot study provide feedback on the presentation of written materials, including the interview protocol, and *KUACAT*, and the use of language and the phrasing of the questions in the interview. Feedback from the two participants indicated that the questions and analytical tool were comprehensive and clear, that the Researcher appeared to be an accomplished interviewer and provided feedback to the Researcher on how much time was needed to complete all phases of data collection.

The time taken to complete the pilot interview followed by the analytical tool was too long and the analytical tool had to be left for completion and collected at a later date. After completion of the pilot interviews, the interview schedule was altered so that the relevant section would be handed out after the series of associated questions had been asked. The data collection templates and recording of data into the database was also assessed at this time and minor changes to the process, such as minor redesign of table

and scale layout, were made to allow for more efficient recording and analysis of the data. Some questions were consistent across other case organisations and did not need to be replicated on each occasion, thus saving some time, during other interviews.

4.9 Data analysis procedures

The objective of data analysis is to interpret the collected data (Chapter five) to understand the phenomenon being studied, produce conclusions and ensure that alternative conclusions are considered (Cavana, Delahaye & Sekaran 2001; Rowley 2002; Yin 2003). The approach to this chapter follows that of Miles & Huberman (1994) as displayed in Figure 4.5.

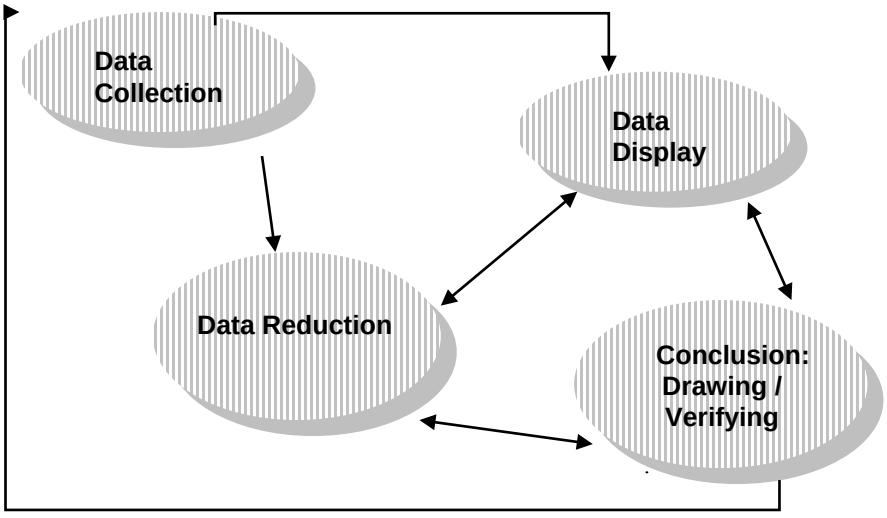
Analysis of the data collected was done to adhere to the following principles:

- use is made of all of the relevant (and available) evidence,
- the most significant aspect of the case study is addressed; and
- the researcher's prior expert knowledge in the area of the case study is drawn on, in an unbiased and objective manner (Rowley 2003).

To achieve this, the data analysis employed a variety of methods (Patton 2002). The three main data analysis strategies employed were:

- relying on theoretical propositions developed in the study,
- pattern coding and analysis, and
- cross case synthesis through a consideration of all case data.

Figure 4.5: *Analysis and data display process*



[Source: Miles & Huberman (1974 p249)]

4.9.1 Data management

The processes of data collection, reduction, display and drawing of conclusions are presented in this section.

4.9.1.1. Data collection and data reduction

The data for this study's empirical investigation was collected by means of interview, use of the *KUACAT* and by FG (Section 4.7). Use of open ended questions typically generates large amounts of data and thus data reduction was designed to prevent data overload without distorting the meaning and relevance (Yin 2003) of the data gathered. In this study triangulation of the data, through the use of different questions, is part of the methodology. As such the data collected from several questions may be collapsed into one table. The data has been reduced to meaningful units of analysis from both the written record of interview as well as the *KUACAT* data. Data reduction was achieved by the use of an excel spreadsheet, recommended by Miles and Huberman (1994) and which gave the options of: putting information into different arrays, creating a matrix of categories, creating data displays (using both percentages and frequency), and tabulating the frequency of different events (Yin 2003).

4.9.1.2 Data display

For this study the data gathered from interviews and cases, was reduced and represented in tables, and also by case by attribute matrices (Burdess 1994; Huberman & Miles 1994). Data has also been reduced to numbers which gives the advantage of being able to: (i) see what the data is in a large batch, and (ii) to keep the researcher analytically honest and protect against bias. Other than reporting on totals and frequency of responses, a number of additional techniques have been used in displaying the data meaningfully:

Use of percentages: Percentages serve two purposes:

-they simplify the data by reducing all numbers to a range from 0 to 100; and

-they translate the data into standard form with a base of 100 for relative comparisons in considering cross case analysis (Cooper & Schindler 2006).

Display of data in a systematic way: the use of matrix displays enables the comparison of two or more dimensions to see how they interact (Huberman & Miles 1994.)

Due to the nature of qualitative research, not all questions at interview, or sections of the *KUACAT* were answered resulting in varying numbers of responses for some analyses.

4.9.1.3 Analysis and conclusion

Data analysis can be described as examining, categorising, tabulating or recombining the evidence to address the research question and issues and is best conducted with a pre-determined strategy (Yin 2003). In this investigation the major strategies used were: pattern (theme) analysis, developing propositions by memoing and cross case analysis.

Pattern analysis

Pattern analysis reduces a large amount of data into smaller analytic units and "lays the ground work for cross case analysis by surfacing common themes and directional processes" (Huberman & Miles 1994 p69). Even with the use of pre-planned questions and interview protocols there is still a large degree of variety in the responses and this requires content analysis, i.e. the process of identifying, coding and identifying primary patterns in the data (Cavana, Delahaye & Sekaran 2001).

Developing propositions by memoing

This process captures the thoughts of the Researcher immediately after the interview process in order to formalise the Researcher's thinking (Huberman & Miles 1994).

Cross case analysis

Firstly individual case analysis was conducted as this provides the data for the cross-case analysis (Miles & Huberman 1994; Patton 2002). Cross case analysis considers reasons why differences occur, and produces an explanation of why differences were found (Perry 2001) by considering the data in divergent ways (Eisenhardt 1989). The approach to analysis is to conduct cross case comparison by forming types of families. Embedded cases are inspected in a set to see if they fall into clusters or groups that share certain patterns (Huberman & Miles 1994). Four specific tactics for cross case analysis were employed and these are:

(a) select categories or dimensions and look for within group similarities,

(b) divide the data by data source (Eisenhardt 1989),

(c) use of word tables (Yin 2003); and

(d) use of Likert type scales (Perry 2001).

4.10 Limitations of the research

Three limitations of the methodology selected for this study are reported in this section: the case research approach, the issue of generalisation, and the limited availability of members to attend the FGs.

4.10.1 Criticisms of the case research study approach

Validity and generalisability issues remain of concern to critics of the case study approach (Jensen & Rodgers 2001; Naslund 2002; Patton & Appelbaum 2003; Perry 1998; Rowley 2002; White & Adams 1994; Yin 2003) and these are addressed below.

4.10.1.1 Validity

Several authors have focused on the need to ensure both good validity and reliability in case study research. Six specific criteria to judge the validity and reliability of case study research, within the realism paradigm, have been established (Healy & Perry 2000; Reige 2003). Perry (1998) reported on the successful development of a structured approach to the case study methodology in postgraduate research. The techniques used to strengthen validity in this study are outlined in section 4.4 and generalisation is discussed below.

4.10.1.2 Generalisation

A frequent criticism of case study research is that the results are not widely applicable (Jensen & Rodgers 2001; Perry 1998; Rowley 2002) and that generalisations cannot be made as the phenomena under study are not context free (Guba & Lincoln 1994). Williams (2000) maintains that some generalisation is inevitable in qualitative research. He suggests that there is a case for generalisation where elements of the subject under study can be seen: "to be instances of a broader set of features (Williams 2000 p 215). The growing use of meta analysis of case studies also provides a strong argument for case research to be generalised over time (Jensen & Rodgers 2001).

Yin (2003) argues that an investigator's goal is to expand and generalise theories (analytic generalisation) and not to just enumerate frequencies (statistical generalisation). Whilst Maxwell (1992) maintains that generalisability is normally based on the assumption that theory may be useful in making sense of similar persons or situations and this is the position taken for this study. . Given the discussion above then a limitation of this study is that the findings may be considered generalisable to HEIs in Kerala but due

to lack of homogeneity in culture across India (Amba-Rao et al. 2000), not to southern India nor to the country.

4.10. 2 Focus group (FG) participation

Due to difficulties with staff release during working hours, and lack of motivation to attend out of work hours, FG participation was restricted to one organisation only for each FG. The FGH occurred at the Case D site and the FGF was conducted at Case A. Despite a personal face to face and written invitation to over ten potential participants in each site, there were only three participants in each group. Whilst the data collected may have been more robust with additional participants, the smaller group size allowed more in-depth discussion in the time available and served to triangulate the data.

4.11 Ethical considerations

A number of guiding ethical practices have been drawn on for this study. The ethical issues outlined by Leedy & Ormrod (2001) were followed in this study, namely: protection from harm; informed consent; right to privacy and honesty with professional colleagues. In addition the ethical procedures of USQ (http://www.usq.edu.au/research) were followed. Specifically, this study adopted the following ethical practices:

(a) the study was approved by the USQ Human Research Ethics Committee (refer **Appendix H),**

(b) the consent for interview form provided adequate information so that the participants could make an informed decision to participate in the study (App. C),

(c) participants were not pressured into participating by the Researcher,

(d) confidentiality of the identity of information sources was maintained through a coded and secure database. Participants were assured of confidentiality both in the consent form and before the interviews commenced,

(e) the methodology used would be objective and reported accurately,

(f) the research findings would be reported in an unbiased manner, including findings not supporting the research propositions; and

(g) a report on the outcome of the study was presented to the USQ Post graduate Research Ethic Committee (Zikmund 2003).

4.12 Summary

In Chapter four the research methodology and design used for this study has been outlined. In doing so the case study approach has been justified and described in detail. Case selection, data collection and analysis techniques have been described. As well, the limitations and ethical approach to this study have been presented. Results and analysis of results from this study are presented in the next chapter.

Chapter 5 Findings: results and analysis

5.1 Introduction

The previous chapter covered the research methodology of this qualitative multiple case study. The objective of this chapter is to present the results (see Part A) and to examine and interpret individual, cross case and all case data findings (see Part B). This chapter consists of 14 sections. Firstly, the background to the cases is discussed as an overview (5.2) and then the interviewee descriptive data is presented (5.3). Next the data is reduced into relevant sections based on the five research issues (5.4). This data is presented in summarised and tabulated form to demonstrate the emerging patterns and is further supported by referenced quotations from the interviewees (see **Appendix I**). In Part B the cross case analysis is presented, including an analysis across case types (5.5). An analysis of the data against each research issue is presented in sections 5.6 - 5.13, and the chapter summary is provided (5.14).

Part A: RESULTS

5.2. Case organisation descriptions

For the purpose of this study, six case organisations were selected for maximum variation. Each case offers a distinct difference in the type of organisation. Details of the selection of each of the cases have been provided in section 4.6. A description of the variation of each case is presented in Table 5.1 below and further information on each case can be found in **Appendix J.**

Table 5.1: *Variation in case organisations*

Case Organisation	Type	Location	Age (in years)	Programmes	Size by student no.	Size by Dept	Size by Staff no.#
Case A University of Kerala	State model General Individual Departments	Capital	80	Masters PhD	3500	41	190
Case B Mahatma Ghandi University	State model General Departments grouped into Schools	Regional	25	Undergraduate Masters PhD	1500	22	100
Case C Cochin University of Science & Technology (CUSAT)	Federal Model Faculty organisation Specialist University Only university without affiliating colleges##	Largest city in state	35	Undergraduate Masters PhD	2400	24	160
Case D University College	Special status 'A' Grade college Government funded	Capital	140	Undergraduate Masters PhD	3000	20	230
Case E Mar Ivanois College	Special status Private college with part government funding	Capital	57	Undergraduate Masters PhD	1700	11	95
Case F National Institute of Technology-Calicut (NITC)	Centrally funded deemed to be university	Regional	46	Undergraduate Masters PhD	3500	14	187

 # Approximate numbers only- some organisations include vacancies and guest lecturers – others do not
One or two colleges only are affiliated

(Source: Developed for this study from case organisations websites and key informants)

5.3 Respondent profiles

In this section data collected on the profile of the HoDs is presented as well as information on the Superiors and FG members.

5.3.1 HoDs

Thirty six HoDs were interviewed for this study. Participants are managers who head academic departments at each of these HEIs, drawn from the relevant case organisation

chart. Due to a centralised decision making function held by public servants within the HEIs, HoDs typically have little authority for direct expenditure however they are held responsible for considerable assets (eg scientific and ICT equipment) depending on their discipline. All interviewees were competent English speakers. The relevant departments for which the interviewed HoDs for this study are responsible are listed in Table 5.2.

Table 5.2: *Departments represented in sample*

Biosciences	English (3)	Management (3)
Chemistry	Geography	Mathematics (3)
Civil Engineering	Gandhian Studies	Mechanical Engineering
Computer Engineering	Hindi (2)	Phototonics
Computer Sciences	History	Physics (3)
Economics (2)	International Relations and Politics	Science and Humanities
Electrical Engineering	Legal	Zoology (2)
Electronics (2)	Library and Information Sciences	

Total Interviews =36. Number indicates frequency of occurrence
(Developed for this study)

From the *KUACAT* (part 1), and question 2 of the interview protocol, the descriptive data of the HoDs can be summarised. The relevant descriptive data of the interviewed HoDs is presented below in Table 5.3. The majority of interviewees were male, Keralites with permanent tenure, in the age range of 46- 55 years, holding a PhD who had worked for more than 20 years in academia and in the same institution for over 20 years. Approximately seventy percent of the interviewees had been in the position for 4 years or less. HoDs from Cases A, B, D, and E were appointed to the position of head based on seniority (years of service at the organisation) whereas HoDs from Cases C and F followed a three year rotational period to serve as a HoD. All HoDs interviewed held permanent tenure at their HEI. Significantly, for this study, fifty three percent of the HoDs had not received any MLD.

Table 5.3: *Head of Department profiles N=36*

HoD Information	N	%		N	%
Age			**Gender**		
26-35	0	0	Female	6	17
36-45	4	11	Male	30	83
46-55	22	61			
55+	9	25			
Not indicated	1	3			
Culture			**Length of Academic Service-years:**		
Malayali (from Kerala)	35	97			
Tamil (from Tamil Nadu)	1	3	0-4 /5-10	0	0
			11-15	1	3
			16-20	3	8
			over 20	32	89
Length of Service at Institution-years			**Length of Service: HoD-years**		
			0-4	25	69
0-4	4	12	5-10	7	19
5-10	7	19	11-15	1	3
11-15	1	3	16-20	2	6
16-20	4	11	over 20	1	3
over 20	19	53			
Not indicated	1	2			
Qualification			**Reporting Line of HoD:**		
PHD	31	86	VC	18	50
Masters	5	14	Principal	12	33
			Director	6	17
Tertiary Training Abroad			**No of Leadership / Management Cou**		
No	32	89	**attended**		
West	0	0	None	19	53
Asia	4	11	1-5	12	33
			6 or more	2	6
			Not indicated	3	8
Direct management of staff			**Academic Workload**		
Yes	36	100	5-10 hours per week	2	14
No			11-15	5	39
			16-20	14	22
			20-25	8	5
			26-30	2	2
			not indicated	5	18
Permanent Tenure		100			
Composition of Academic Staff Managed			**Academic Staff Qualifications**		
			Masters	144	33
Lecturer	78	19	PhD's	255	60
Senior Lecturer	119	29	Other	29	7
Reader/ Selection Grade Lecturer #	88	21			
Assistant Professor	39	10	.		
Professor	69	17			
Visiting Staff	15	4			

 # A Reader is known as a Selection Grade Lecturer within Colleges in India
(Source: Developed for this study using part 1of the KUACAT & Qu. 2 of the interview protocol)

The HoDs, as a group, demonstrated a wide variation in the numbers of staff reporting to them. On average HoDs managed 12 academic staff and nine non academic staff. Students ranged from undergraduate through to PhD level, however not all degrees were offered by every department. The summarised data is provided in Table 5.4.

Table 5.4 *Head of Department profiles by staff and student numbers*

Number of staff in Department	Number	Student number in Department	Number
Academic		**Under graduate**	
Average	12	Average	122
Range	3-40	Range	0-440#
		Masters	
Non Academic		Average	67
Average	9	Range	16-260
Range	1-40	**PhD's**	
		Average	7
		Range	0-42#

 # Zero enrolment of students indicates that the course is not offered through the department i.e. either no undergraduates or PhD students in some departments

(Source: Developed for this study using part 1 of the KUACAT)

5.3.2 Superior and Focus group (FG) members

The Superiors of HoDs were also interviewed (one for each organisation) and asked select questions from the HoD interview protocol. Limited parts of the KUACAT were administered however specific profile data was not collected due to the limited time granted for interviews by them. Further details of interviewees and FG participants can be found in Appendix E. The results presented in this chapter have thus been derived from multiples sources. Where the data has only come from HoDs, this will be stated. Due to the different time allocated by interviewees to the interview not all questions contained in the interview protocol (Appendix D) were presented to each HoD in all cases, Thus there was variation in the amount of data collected.

5.4 Individual embedded case results

The previous section has established the characteristics of the respondents from the six participating case organisations. Due to the volume of data collected and in the interests of parsimony, the detailed results of each case are presented in the Appendices. To ensure full understanding, the data has been presented in two ways:

Appendix I –results of each case are presented against each of the RIs and,

Appendix J –results are presented as individual case study reports with summary data.

Thus, to ensure the credibility of the overall research findings, each embedded case was fully understood in its own terms, prior to the cross-case analysis in Part B. Each case is thus examined against each of the five research issues of the study. Having described the individual case results (in Appendix I), a cross case analysis is presented in the next section.

Part B CROSS CASE ANALYSIS

In this part, firstly the cases are contrasted to determine any possible differences between colleges and universities. Then the data is compared on a cross case basis to examine and interpret data and patterns obtained from these six case organisations so as to provide a more complete picture of the major case under study.

5.5 Comparison of HoD role in Universities versus Colleges

Despite some difference in autonomy and size of the different institutions, as indicated in the previous section, in practice there are only some minor differences between HoDs in universities and colleges and these are reflected in Table 5.5.

Table 5.5 *Differences and similarities between HoDs employed at the three types of cases*

Factor	College	University	Deemed University
Employed by	Kerala State Government	Kerala State Government	Central Government of India
Retirement age	55	60	60
Selection process	Seniority only	Seniority or option for open selection	Seniority or option for open selection
Financial responsibility	None	Little *	Little *
Distinct position	No: HoD duties additional	No: HoD duties additional	No: HoD duties additional
Reporting line	Principal (Head of Institution)	VC (Head of Institution)	Director (Head of Institution)
Departmental staff reporting directly to position	Yes	Yes	Yes
No of direct reports: Academic **Range** **Average**	 4-21 9	 3-21 12	 8-40 20
No of direct reports: Non academic **Range** **Average**	 4-40 11	 1-7 2	 6-40 16
Responsible for department function and outcome	Yes	Yes	Yes

* Ranging from 500 Rupees (approx A$16.00) to 7000 rupees (A$230) per item

(Source: Developed for this study from case organisation websites, referenced diaries, statutes, interviews of key informants and from data of HoDs interviewed)

5.6 Patterns of data for the five research issues

The data is presented as commonly formatted matrices and figures that focus on patterns that are specific, concrete, and common to more than one of the six cases. The structured format used in the interview protocol and the *KUACAT* facilitated cross-case comparisons. For each research issue the criteria for analysing the data are described in each relevant section.

5.7 R I 1 The cultural context of Kerala

Data collected by both interview (Qu. 25-27) and the *KUACAT* (Part 4) are presented in this section.

5.7.1 Descriptive data on Kerala culture

Respondents were asked for their perception of Kerala culture, especially in relation to values and perceived differences from western culture.[6] An analysis of the responses identified four major patterns or themes across the cases as follows. The themes of *values* were identified by at least one respondent in all of the six cases. The theme by cases (see Appendix I: section 1) is displayed in Table 5.6.

Table 5.6: *Pattern analysis of cultural descriptions of Kerala: All cases*

Case studies ➔ **Perceived cultural factors**⬇	**A**	**B**	**C**	**D**	**E**	**F**
Traditions						
Relationships						
Values						
Work culture						

Key: Strength **Weakness**

(Developed for this study from responses to Q25 & 26 of the interview protocol and unsolicited comments recorded during interview)

Two values were concerned with regard for people - *equality and care for human beings* (A002), *concern for others is important* (E006) and two values were associated with education- *respect for the teaching profession* (C001 & E005) and *education is an important*

[6] These questions resulted in few responses from the HoDs even when probe questions were used.

value in Kerala (F001). One value identified the need for *duty and discipline* (B004) and the other was based on *honesty and integrity* (D007).

Traditions in Kerala were noted in five of the six cases: *(there is) more importance to tradition (here) than the west* (E005) and that *Kerala traditions are good but are being affected by the west* (B003). Education was also seen as a strong tradition in Kerala (F006). The role of the prominent religion was noted particularly in relation to caste, *Hindu religion is very important…caste matters* (A001) and *caste distinction has come down significantly in Kerala* (C002). The other theme identified by respondents as cultural strengths was *relationships* (in 3 of the cases).

On the negative side, respondents felt that there was a significant issue with the themes of *work culture* which was identified by all four of the state cases. Respondents identified work culture as:

> *In Kerala do not need to be competitive; relax; safe in job, paid if work or don't work* (A001),
>
> *Keralites are developing a 'work less get more' attitude* (B005),
>
> *Employment in the public sector is seen as social good so there is a force to keep high levels of administrative staff in job regardless of their productivity* (C005), and
>
> *Political climate is not conducive to good administration/ good work ethic* (D002).

Respondents from the three universities Cases A, B and C all recognised tradition as a cultural strength, but varied in relation to identifying relationships and values. Respondents from Case B, a government college, felt that values was a cultural strength, whereas respondents from Cases E, the private aided college, and Case F, a deemed university, identified traditions, relationships and values as important cultural strengths. This indicates a difference across the types of cases when comparing the four state cases against the private aided organisation (E) and federal deemed university (F). All state funded institutions (Cases A-D) identified work ethic as an issue, whilst the private aided organisation and the deemed (federal) university did not.

5.7.2 Cultural dimensions: Kerala culture

Using the cultural dimensions of Hofstede (1991) and also time orientation from Trompenaars (1993), respondents were asked to describe Kerala culture based on several descriptions across five cultural dimensions (refer part 4 of Appendix F). The data has

been analysed on an all case (Table 5.7) and also on a cross case basis (Table 5.8). The total number of responses, per cultural dimension (presented in Appendix I, Tables I 1-I 6) across all cases are reflected in Table 5.7.

Table 5.7: *All case analysis of cultural dimensions: Total number of responses*

Cultural Dimension		**Neutral**		**Cultural Dimension**
Individualism	67	**75**	**74**	Collectivism
Feminine	**168**	82	74	Masculine
Low Power Distance	**97**	37	82	High Power Distance
Low Uncertainty Avoidance	**105**	65	46	High Uncertainty Avoidance
Tight Time Orientation	**50**	44	**50**	Loose Time Orientation

Bold = highest number

(Developed for this study from data supplied in part 4 of the KUACAT)

This analysis suggests a rather clear *feminine* and a low *uncertainty avoidance* orientation. *Low power distance* is mostly reflected (45%) but with a degree of support for high power distance (38%) as well. There is support for *individualism* but stronger support for the *neutral to collective orientation.* There is an almost equal spread of results between *tight* and *loose time orientation.* The analysis on a cross case basis highlighted several differences from the combined results (Table 5.7) and these are presented in Table 5.8.[7]

Table 5.8: *Cross case analysis of cultural dimensions*

Cultural Dimension		**Neutral**		**Cultural Dimension**
Individualism	A*, C	A*, B, D, F*	E, F*	Collectivism
Feminine	A, B, C, D, E, F			Masculine
Low Power Distance	A, D, F		B, C, E	High Power Distance
Low Uncertainty Avoidance	A, B, C, D, F	E		High Uncertainty Avoidance
Tight Time Orientation	A, B, D, F	E	C	Loose Time Orientation

* *Where scores are the same cases are indicated in both dimensions*

(Developed for this study from data supplied in part 4 of the KUACAT)

In considering the cross case differences, there was a high degree of support for a *feminine* orientation (all 6 cases) and for *low uncertainty avoidance* (5 of the 6 cases,

[7] Cases were allocated to a dimension based on the highest percentage score of respondents in that case although it should be noted that there was a spread of responses across a number of the dimensions (see Appendix I-Tables I 1-I 6).

with Case E being neutral), the results for the other dimensions are not as strongly conclusive with individuals within the cases holding a variety of views on the various cultural dimensions in Kerala. Case results were spread across *individualism* to *collectivism* and also low to high *power distance*. For time orientation, respondents from four cases considered Kerala culture to have a tight time orientation. No pattern was identified in the cross case analysis for type of organisation.

5.7.3 R I 1.1 Implications of the cultural context on development of Managerial Leadership Competencies (MLCs)

Respondents were asked to comment on how the Kerala cultural context may impact on the development of MLCs for HoDs. Their responses (see Appendix I: section 2) across cases were analysed and are presented in Table 5.9 below.

Respondents in Case A, a large university, confirm both strengths (*relationships*) as well as negative trends (*corruption* and *seniority* issues). Of the other two universities, Case B respondents also identified the same negative trends of *corruption* and *seniority*. Case D respondents also identified *corruption* (in politics and trade unions) as an issue.

Whilst no respondents from Case C commented on the negative trends, Case C respondents were the only ones to actively define both the *pace of change - in the next 10 - 15 years there will be tremendous change; younger generation more adaptable; open to change; we are in transition phase* (C003). Also the *impact of globalisation* was raised by two respondents - *Keralites now coming into contact with other cultures - we are changing (for the good); aware of modern management practices; and can accept the modern things from other cultures* (C004); *and the environment is becoming more competitive with globalisation - need for more leadership competencies* (C001).

Respondents in Case E, a college, were more erudite and could clearly articulate both the positive strength of *relationships* as well as the negative issue of *corruption*. Only one respondent - the Director of, Case F - the deemed university, commented on the impact of globalisation on Kerala culture. He felt it was important to copy new ideas from the West (such as MLCs) but that this should not be done at the cost of Kerala Culture - *imitate the west but never leave our traditions* (F007).

Table 5.9: *Perceived cultural impact on the development of MLCs at Kerala HEIs*

Perceived Cultural Impact ↓	A	B	C	D	E	F
Theme: Corruption and Politics/Trade Unions influence						
-Trade unions are often against open recruitment (based on competencies) and protect their members for promotion (A006) *-Unions: there is no prevailing atmosphere to create the motivation for change and without union support nothing will happen (E007)* *-Corruption is on the rise and is now part of the culture; unless process can be fair and transparent (it) will not work (D007)* *-Politics: at present can influence decisions; it is discriminatory and would not result in fair allocation of training i.e. certain selected colleges and people would benefit based on political affiliation (A001)* *-A competency approach is more transparent and logical and less able to be influenced (A003)* *-Politicians are very influential; there is corruption because the system is not transparent (B001)* *-It is critical to manage politics; Kerala has a strong cultural base brought about by the communist rules and development of socialistic thinking... (B007)* *-It is possible that a VC can pay money to get role then make money through corruption (B002)*						
Theme: Significance of Seniority						
-Cultural clash between being senior as opposed to the best (A003) *-Very important for recognition and appearance – a rotation of headship could face problems* (A006) *-Although Seniority may not put the best person in place at least it normally takes precedence over other considerations such as caste or religion or political affiliation… seniority can still be manipulated (but not in a direct or timely manner) (A001)* *-Makes it not acceptable that younger merit based person have more responsible role (B002)* *-Changing somewhat as younger generation are more questioning (E001)*						
Theme: Relationships						
-Department needs to be like a family (A003) *-Consensus approach; cannot force staff (A006)* *-The need for sensitivity and development of relationships are critical as competencies in Kerala; much more emphasis on deeper relationships than in the west (E001)* *-Being a Christian institution; role (of HoD) is a servant (E005)* *-It is harder being a woman HoD as most women find it harder telling men what to do and in being the boss (E001)*						

Key: **Positive** **Negative**

(Source: Developed for this study using responses from question 27 of the interview protocol and unsolicited comments recorded during interview)

Considering all cases, the strongest theme to emerge was *corruption and politics/trade union influence* (cases A, B, D, and E). The *significance of seniority* was identified within three cases (two universities and the private aided college) as one of the key

drivers in the lack of acceptance of MLCs within the Kerala cultural value system. As a positive, respondents from two cases indicated the influence of *relationships* on the desired MLCs of HoDs.

Having considered the cultural context (R I 1), the data in respect of R I 2, the organisational context, is presented in the next section.

5.8 R I 2 Organisational context of Kerala's HEIs

In this section, firstly the organisational challenges facing each case are examined on a cross case basis to determine any common challenges. Then the cross case analysis of organisational culture is presented. Next both organisational and managerial effectiveness are considered across cases, and a comparison of work culture is made. Finally HR data is examined for cross case patterns. Data collected from interview (Qu. 2-3, 6-7, 11-20 and 23-4) and Part 3 of the *KUACAT* is presented in this section.

5.8.1 Organisational challenges

Respondents from all cases recognised a number of challenges facing their organisation; with challenges being external (Federal and State government direction and student culture) and internal (quality, leadership and organisational issues) - see Appendix I Section 3. There was overall agreement across all cases for both *organisational issues* and *State/Federal government issues.* The pattern analysis is presented in Table 5.10 below.

Differences between types of organisations are highlighted in regard to the type of challenges being faced by the various HEIs in this study. The state run institutions (Cases A-D) did not raise *quality* as an issue but respondents from both the federal deemed university (F) and the aided college (E) did as follows:

> -*Need for higher quality and more research and development, rather than just a focus on teaching* (F007), and
>
> -*(Need to) ensure and sustain quality in education* (E007).

State government issues was clearly of concern for the three state cases (A, B and D) - *(*Need to*) manage the impact of trade unionism* (A007); *Chief Minister has announced Kerala as an education destination; requires growth and development* (B004) - while

Case D respondents were vocal on the impact of the college becoming autonomous. *Federal issues* were important for Case F - *NITs are developing colleges and the federal government is trying to strengthen these to become first rank like the IITs* (F007) - and also for Case C as it transforms from a state to federal HEI. Respondents from the two state universities, (Cases A and B) raised issues specific to *leadership*. Respondents from all organisations were concerned with organisational issues ranging from *recruitment, service and facility levels, productivity* and *promotion.*

Table 5.10: *Pattern analysis: Summary of perceived organisational challenges to Kerala HEIs - all cases*

Theme	A	B	C	D	E	F
Quality (3 responses)					**X**	**X X**
Leadership (6 responses)	**XXXX**	**X X**				
Changes in Student Culture (10 responses)	**X X**	**XXX**	**X**	**X X**	**X X**	
Organisational issues (10 responses) • Recruitment and/or training • Service and/ or facility levels • Productivity levels • Promotion	**X**	**X**	**X** **X** **X**	**X**	**X X**	**X** **X**
State/ Federal Government issues [including UGC direction] (11 responses)	**X X**	**X**	**X**	XXXXX	**X**	**X**

X = number of responses

(Source: Developed for this study using responses from question 6 and 7 of the interview protocol)

Changes in *student culture* were identified by respondents in four of the six cases (A, B, D and E) as a challenge; and in particular, an increasing demand by students for knowledge and specifically a commercial need demanding relevant (but easy) courses for jobs. Increasing *political agitation* of students was also indicated in cases A, C, and D and E. An interesting difference was noted by a respondent in F was that political agitation was not the case as:

> *unlike other universities in the state there is little student agitation or politics; 50 % of students from elsewhere in India so this changes the dynamics; also (NITC is a) high ranked institution so only high scoring students get to attend apart from the 20% reserved for scheduled castes and tribes* (F001).

Having considered the challenges facing each of the six case organisations, the organisational culture across all cases and a comparison of each of the six cases is presented in the next section.

5.8.2 Organisational culture

To better understand organisational culture, the Competing Values Framework (CVF) was used as part 3 of the *KUACAT* and results are presented in Table 5.11 below. Cases which have 75% or greater agreement amongst the respondents are indicated. Individual case data is presented in Appendix I - Tables I 7, I 9, I 11, I 13, I 15 and I 17.

Table 5.11: *Cross case analysis of perceived organisational culture of HoDs based on the CVF*

Case studies / Perceived Organisational Culture ↓	A	B	C#	D	E	F	All Cases N=34
Rational culture	83%	38%	81%	83%	87%	83%	76%
Development culture	83%	50%	69%	74%	87%	54%	70%
Hierarchal culture	67%	79%	69%	54%	67%	63%	67%
Group culture	67%	29%	31%	75%	88%	54%	57%

Indicates agreement of 75% (+/- 1) or greater by respondents

Key: Related Model in Quinn and Spreitzer (1991) CVF

	Human Relations Model
	Rational Goal Model
	Open Systems Model
	Internal Process Model

(Developed for this study from Quinn and Spreitzer (1991) and section 3 of the KUACAT) N=6 per case # N=4)

The all case analysis indicates that *Rational* culture is most dominant, followed by *Development, Hierarchal* and then *Group* culture. In considering a cross case analysis there is some individual case variation. Case A has a stronger *Rational* and *Developmental* organisational culture, whilst Case C though having a strong *Rational* culture has equal emphasis on *Development* and *Hierarchal* culture as the next two dominant cultures. Case B, another state run university, varies to the other two cases and is the only case not to have the strongest percentage in the *Rational* culture category (its

strongest ranking being *Hierarchal* culture). Cases D and E, both colleges, have similar results to each other in terms of *Rational, Developmental* and *Group* culture, with *Group* culture rating more highly for Case E. Case F has *Rational* culture as its strongest culture with lesser values attributed to the other three cultures. In the cross case analysis of the specific descriptors for organisational culture, there are some differences across types of organisations. The cross case data is presented in Table 5.12. Agreement with, or disagreement to, the descriptors of 75% or more is indicated.

Table 5.12: *Percentage ranking of descriptors of perceived organisational culture from the CVF*

Competing Value Framework	A	B	C	D	E	F
Group Culture						
Participation, open discussion						
Empowerment of employees to act						
Assessing employees concerns and ideas						
Human relations, teamwork and cohesion						
Development Culture						
Flexibility, decentralisation						
Expansion growth and development						
Innovation and change						
Creative problem solving process						
Hierarchal Culture						
Control, centralisation						
Routine, formalisation and structure						
Stability, continuity, order						
Predictable performance outcomes						
Rational Focus						
Task focus, accomplishment, goal achievement						
Direction, objective setting, goal clarity						
Efficiency, productivity,						
Outcome excellence, quality						

Agree 75% or higher Disagree 75% or higher

(Developed for this study from Quinn and Spreitzer (1991) and section 3 of the KUACAT) N=34

In regard to group culture, respondents from Cases A-C, the state universities, indicated a lack of *participation*, *open discussion*, *assessing employees concerns and ideas*, and *creative problem solving process*, with Case B and C also indicating a *lack of empowerment of employees to act.* This is in common with the deemed university, Case F. Respondents from Cases D and E positively identified *participation and open discussion* as being present in their organisations but not *empowerment of employees to act*. *Assessing employees concerns and ideas* was present in the two colleges - state and private aided (Cases D and E). *Human relations, teamwork and cohesion* were common to three cases - Case A and the affiliated colleges, Cases D and E.

There is a wide range of results across the cases in the Development culture. Here, *expansion growth and development* and *innovation and change* are present in four cases, across both universities and colleges. Turning to Hierarchal culture, *routine formalisation and structure* and *predictable performance outcomes* are common to the universities, whilst *stability, continuity and order* are similar for the colleges and the deemed university. Rational culture is common for all cases except for Case B.

Having described the organisational culture in the previous section, now data on respondents' perceived organisational and managerial effectiveness as well as perceived work culture are presented in the following sections.

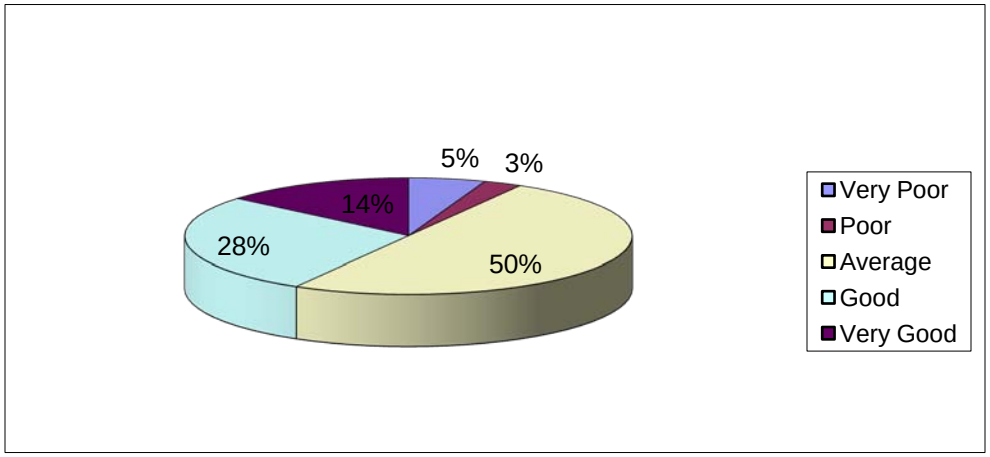
5.8.3 Perceived organisational effectiveness

The current organisational effectiveness was rated by 47 percent of respondents across all cases as *average*. State HEIs rated the organisational effectiveness as *average* to *good* (with the exception of Case B which also had ratings of *very poor*); whereas Cases E and F (private aided and federal) respondents rated the organisations more consistently as *average* through to *very good* and this supports positive statements from these two cases on work culture outlined in section 5.9.5. Managerial effectiveness mirrored these results, to some degree, with the majority of results in the *average* to *good* categories. Figure 5.1 below indicates the all case rating.

However respondents from Cases C identified very good managerial effectiveness, despite rating the organisational effectiveness as *average* [see Appendix I, Tables I 8, I 10, I 12, I 14, I 16 & I 18]. This is suggestive that management effectiveness is only one

of the contributing factors in the respondents' views of what constitutes organisational effectiveness.

Figure 5.1: *Perceived organisational effectiveness: All cases*



(Source: Developed for this study using responses from question 12 of the interview protocol)

Respondents were asked to comment on their rating and these comments are displayed, by theme, in Table 5.13 below.

In Case A the focus is on the rigidity of the bureaucratic system and delays in decision making, whereas in Case B it is the poor quality of academic appointments and corruption, and in Case C on lack of academic leadership and planning. In Case D various problems were perceived by respondents ranging from bureaucracy, political interference, poor administrative procedures and corruption. Case E respondents were primarily positive about organisational effectiveness, raising only an issue of slowness of decision making. Case F respondents identified difficulties with mindset and lack of ethical practice in academic staff. Centralisation of decision making and a lack of ability for HoDs to be included in decision making were also raised.

Table 5.13: *Perceived problems impacting on organisational effectiveness*

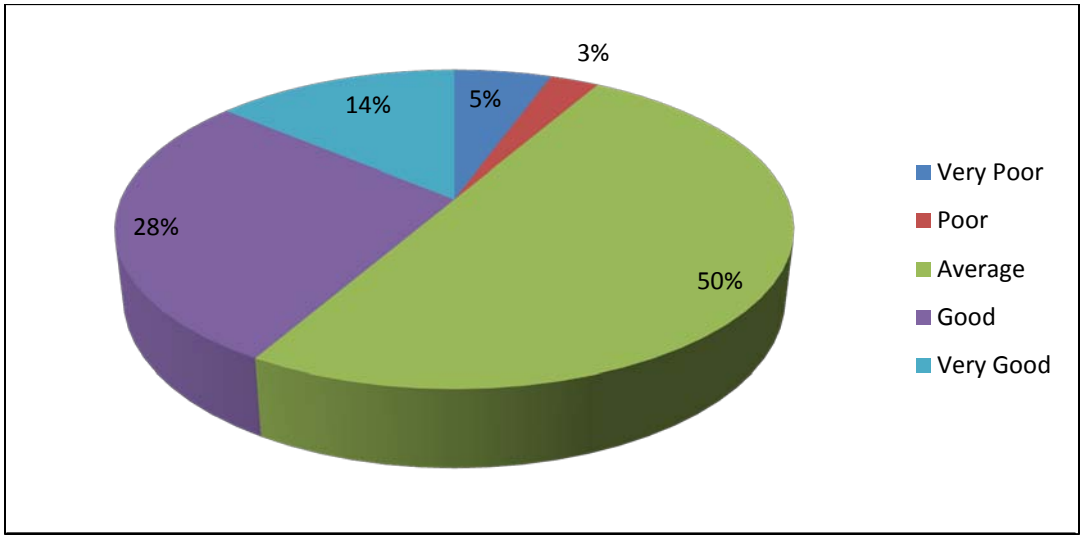
Case studies ➔ **Perceived Problem**⬇	**A**	**B**	**C**	**D**	**E**	**F**
Theme: Decision making	■				■	■
-Undue delay (in decision making) (A002); Students often wait 10 months to get exam results (A004) *-Unnecessary delay in decision making and execution (E007)* *-Too centralised; HoDs not included in decision making more delegation needed (F002)*						
Theme: Corruption/illegal practices		■		■		■
-PhD's are very poor quality; Blind leading the blind; very pathetic situation; give Rs 10,000, I will give PhD (B001) *-Reported to interviewee that HoD of other department was asked by administration to pay them money to release equipment (D003)* *-Teachers have many side businesses and spend time on them- its illegal but it's done; everyone knows (F004)*						
Theme: Political interference /appointments		■		■		
-Need more Academics on syndicate and less political appointments (B003; B006) *-Syndicate as it (currently) is, consists of politicians and third rate academics; elected in place of eminent scholars but (they are) political appointees and have own agenda (B001; B004)* *-UC was better in earlier days, now too much political interference… (D004)*						
Theme: Quality of management & leadership activities	■		■	■		■
-Remnant of British system, organisation has not effectively been overhauled- neither management nor administration nor modern management principles- (its) a fusion of everything (A005) *-Administration has the upper hand rather than academic leadership; this is changing and should change in next 1-2 years (C006)* *-No planning of departments so duplications in courses (C005)* *-Lack of co-ordination between academic and non academic streams (D006)* *-Since becoming a deemed college now have academic freedom and infrastructure has changed but mindset has not- little vision or motivation; too relaxed (F001)*						
Theme: Bureaucracy	■			■		
-Rigid bureaucratic system (A006) *-Too much red tapism (D002; D003)*						

(Source: Developed for this study using responses from question 12 and 23 of the interview protocol

5.8.4 Perceived managerial effectiveness

Similarly to the organisational effectiveness rating, managerial effectiveness was rated by 50 percent of respondents across all cases as *average* (see Appendix I, Tables I 8, I 10, I 12, I 14, I 16 & I 18). Nevertheless, a significant number of respondents also rated the management effectiveness as *good* or *very good* while cases A, and B also had one respondent in each who gave a *poor* rating. These results are presented in Figure 5.2.

***Figure 5.2**: Perceived effectiveness of management of organisation: All cases*



(Source: Developed for this study using responses from question 16 of the interview protocol)

In Case A, problems with managerial effectiveness were identified as lack of disciplinary action, lack of monitoring of projects and the need for more accessibility and transparency in management. Respondents in Case B identified the need for strong and creative leadership in particular, with one respondent commenting that the:

> *VC cannot control trade unions as they are linked to and controlled by political parties* (and) *cannot shield university from their influence* (B007).

In Case C the need for better management was identified by respondents. In Case D, respondents recognised a number of factors including: the difficulty of co-ordination in the position, work overload, and stress. One respondent, however, acknowledged the strengths of the current head of the college. In Case E most respondents were positive of management however one respondent indicated a lack of motivation and achievement of goals. In Case F respondents had a wide view of management with some identification of effectiveness such as transparency, good communication and clear vision whilst others commented on the need for more vision and planning and the need to build more trust. Specific comments from respondents, on a per case basis, can be found in Table 5.14.

Table 5.14: *Perceptions of managerial effectiveness by case*

Case	Perception
A	-*Strong political Marxist influence; no disciplinary action taken if person is member of Marxist party* (A001) -*Monitoring of university projects not done properly* (A004) -*Accessibility and transparency needed* (A002)
B	-*Poor quality of senior leadership; even a good VC cannot transform the system; need creative leadership* (B006) -*VC cannot control trade unions as they are linked to and controlled by political parties; cannot shield university from their influence* (B007)
C	-*Politically orientated decision makers who have not been chosen by merit… there is a lack of management here* (C005)
D	-*Difficult position to manage teachers' administration and students; lots of stress; little organisational help* (D006) -*New principal is good at communication; very approachable and communicates a vision for the college* (D002)
E	-*Need to improve motivation; and work to goals and objectives; NACC accreditation has identified areas for improvement but nothing has happened (*E003) -*(Management are) giving facilities and positive work culture* (E004) -*Good relationship between college management and principal; principal come to HoDs (walk the talk) and is understanding* (E005) -*The church has learnt over decades how to manage well* (E001)
F	-*Transparent and good communication* (F003) -*Management is largely influenced and it depends on who is the Director; centralised control; need to delegate more and build trust with HoDs* (F004) -*More vision and planning needed* (F002; F004) -*Dynamism has increased since move to become a NIT* (F005) -*Clear vision some ideas are good others not okay; decisions need to be more rational e.g. not flat across the board budget cuts. Need more delegation and empowerment* (F006)

(Source: Developed for this study using responses from question 15 of the interview protocol)

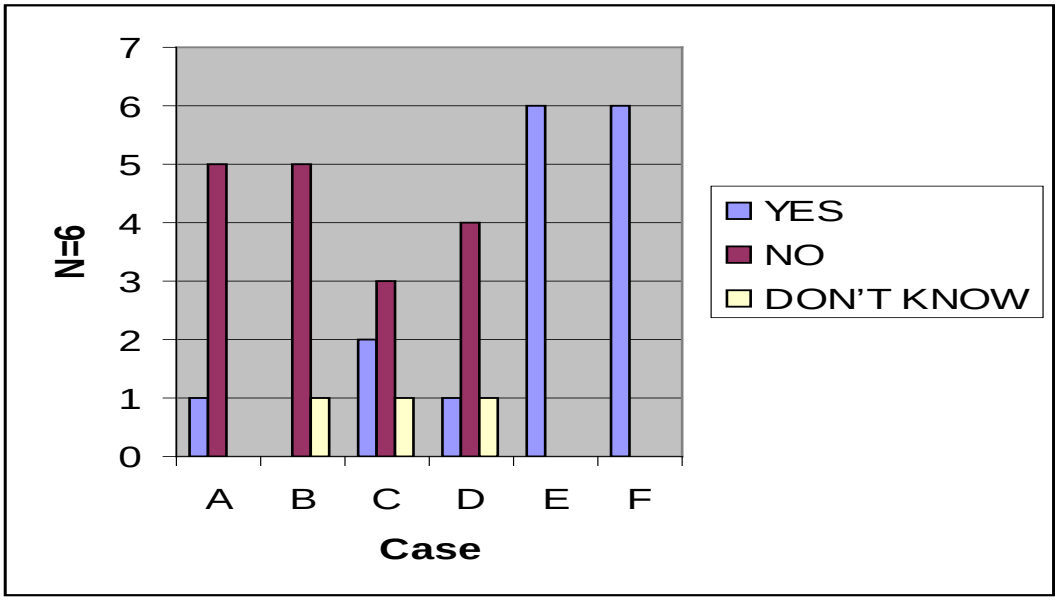
5.8.5 Perceived work culture

Although the all case analysis shows an almost balanced response (45% Yes and 47% No) to the suitability of the work culture, a breakdown into each case indicates some difference as described in Figure 5.3 (see Appendix I, Tables I 8, 10, 12, 14, 16 & 18).

All of the public HEIs respondents believe the work culture is not suitable for the requirements of the organisation, whilst Cases E and F respondents reported a 100 percent perception of a positive work culture - *very good - not like other institutes in Kerala - have a lot of freedom* (E001). In Case F one respondent felt that though work culture was generally good it did vary. These results are consistent with section 5.8.5, where respondents raised work culture as a positive. These two cases represent a private aided college and a national institute and as indicated above also feel their organisations are effective (refer section 5.9.3). These results demonstrate a difference in type of

organisation across the sample selected. These results are also consistent with the description of work culture as part of Kerala culture (see section 5.7.1).

Figure 5.3: *Cross case analysis of work culture suitability*



(Source: Developed for this study from question. 14 of the interview protocol) N=6 per case

Respondents were asked to explain their rating (see Appendix I: section 3). In Case A there is predominantly a perception that the work culture is not suitable due to poor accountability, difficulty in removing poor performers - *security of job results in lax attitude to work* (A003), and no motivation to improve productivity. However there is a counter argument by respondent A004 that the culture is suitable as he viewed academic staff as generally hardworking with freedom to manage their own time.

In contrast respondents in Case B argue that the work culture is not suitable as they describe a bureaucratic culture with poor relationships between academics and administrative staff, poor productivity - *very peculiar - (people) reach office to take rest* (B006), lack of clear work definition (including a lack of position description) and corruption - *corruption is everywhere, even this department* (B001). In Case C, respondents stressed the poor productivity - *people are generally lax* (C003) and lack of motivation - *I am the youngest and most vibrant member of syndicate but now I feel 'why bother'* (C008) although recognising that academic staff in general had a better work culture than administration. Respondents in Case D stressed the poor work ethic of public sector employees - *work ethic in government is abominable* (D002), lack of

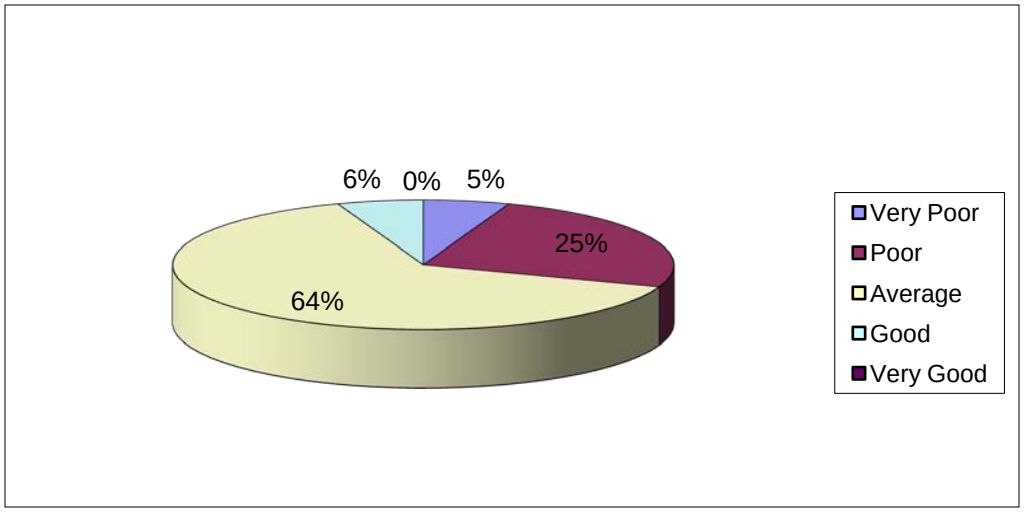
accountability *people believe they have a right to shirk work and take pay* (D003) and difficulty with political pressure. However, one respondent (D002) - despite his earlier assertion regarding an unsatisfactory work culture - did describe some staff as conscientious.

5.8.6 Human resources (HR) sophistication

Analysis of results (see Appendix I section 3) indicate that the predominant rating of current HR practices for all cases was *average* (64%) and in total 94 percent of respondents believed current HR practices to be *poor to average.* These results are presented below in Figure 5.4.

Respondents were asked to explain their rating. Case A respondents were concerned about remuneration of role as a motivator - *no incentive to become HoD* (A006) - the need to be accountable through a performance appraisal system - *VC does not appraise HoD performance [but needs to*] (A003) - and the need for training. Case B respondents also highlighted the need for performance appraisals - *no mechanism for weeding out poor performers; no praise for good performers* (B001) - as well as a formal preparation for the HoD role. Turning to Case C, respondents felt the only reward for being a HoD was in terms of career. One respondent commented on the positive nature of the rotation of HoD role but it was also noted by another respondent that no one is concerned about performance of the HoD - n*eed to give an 'honour' to those who make good achievements; good and poor HoDs are equally ignored* (C002).

Figure 5.4 *Rating of HR function in organisation: All cases*



(Source: Developed for this study using responses from question 17 of the interview protocol) N=34

A Case D respondent focussed on the need for more effective promotion system - *need more screening for promotion not just making it automatic* (D004) - as did a Case E respondent - *efficiency and talent should be given more importance in promotion* (E007). Respondents also raised issues to do with lack of training and the need to increase salaries. Case F respondents echoed the need for promotion - *seniority based promotion is poor; need to base (it) on merit* (F001; F004) - and training. One Case F respondent expressed concern about high HoD workloads.

The key theme identified in all cases was the need for training (including an orientation programme) in order to develop HoDs' skills and abilities to carry out their jobs competently. Improved recruitment and selection of staff processes and the process for promotion were raised by respondents from four and three of the case organisations respectively. The high workload was raised by respondents from the two private cases. Other themes raised by respondents are improvement of recruitment and selection (of both staff and HoDs), and issues around a high workload and improvements needed in the promotion process.

In addition to the issues raised above, five key HR factors were also identified by respondents, across all cases, as being needed to improve the role of the HoD, namely: preparation for role, a position description, performance appraisal for HoDs, remuneration for HoD role, and the need for succession planning. In addition the presence of a rotation system for the HoD role was also noted. These factors are all presented in Table 5.15 below.

A major factor in consideration of all six cases in this study was that none of organisations had a discrete HR department, though Case E has a department under consideration (E007). Thus sophisticated HR functions were not found in any of the case organisations.

Having presented the data on HR issues in the six case organisations, it is useful to consider how the respondents view effectiveness in their organisations and management as compared to their perceptions of HR and this is presented in the next section.

Table 5.15: *Summary: Identified improvements required for HR function by case*

Improvement	A	B	C	D	E	F
Training	■	■	■	■	■	■
Recruitment and selection	■		■	■	■	
Promotion				■	■	■
Workload of HoD					■	■
Preparation for role	■	■	■	■	■	■
Position description for HoD	■	■	■	■	■	■
Performance appraisal for HoDs	■	■	■	■	■	■
Remuneration for HoD role	■	■	■	■	■	■
Succession plan in place	■	■	■	■	■	■
Rotation of HoD role	■	■	■	■	■	■

Key: Yes ■ No ■

(Source: Developed for this study using responses from question 2, 3, 11, 17a, 18, 19 & 20 of the interview protocol)

5.8.7 Comparison of organisational, managerial and HR effectiveness ratings

To better understand the organisational context of the six cases, HoD respondents were asked to rate organisational, managerial and HR effectiveness (see sections 5.9.3, 5.9.4 & 5.9.6). These results are contrasted and presented in Table 5.16.

Table 5.16: *Cross case comparison of effectiveness ratings N=36*

Cases → Rating ↓	A			B			C			D			E			F		
#→	O	M	HR	O	M	HR	O	M	HR	O	M	HR	O	M	HR	O	M	HR
Very Poor		2		2		2												
Poor			1		1				2			2			1			
Average	3	3	5	3	4	4	4	2	4	3	4	4	1	1	3	3	4	3
Good	3						2	3		3	2		2	4	2	2	1	3
Very Good		1		1	1			1					3	1		1	1	

#Code: O = Organisational effectiveness M=Managerial effectiveness HR= Human resource effectiveness

(Developed for this study from questions 12, 15, 16 &17 of the interview protocol) N=6

In the four state run organisations (Cases A-D), the majority of ratings fall into the *average* category for HR function (4 or 5 out of 6) however there are also ratings of *poor* in all cases. These ratings loosely follow a similar pattern of average for organisational and managerial effectiveness. Whilst Cases A-D all had ratings from respondents in the *good* to *very good* category for organisational and or managerial effectiveness, no respondents rated HR effectiveness as above average. These cases are all state organisations which have a centralised HR function. In Cases E and F the majority of the ratings, from respondents, are *average* to *good* for the HR function which coincides with similar ratings of management and organisational effectiveness (*average* to *very good*).

Select data on the organisational context of HEIs has been analysed and described in this section and the implications of this context for the development of MLCs is examined in the next section.

5.8.8 R I 2.1 Implications of the organisational context on development of Managerial Leadership Competencies (MLCs)

Given the organisational context discussed in the preceding sections, there are a number of implications of this environment to the development of MLCs within Kerala HEIs. The key perceived obstacles identified by respondents are that of *vision / ability of decision makers* followed by the themes of *work culture, political interference, financial, legislation/ State government* issues and lastly with *union involvement.* The themes and responses by respondents in all cases and from the FGs are presented in Table 5.17 below (see Appendix I - section 4 and section 8).

Respondents from Case A, a large university, raised all the above issues as pertinent to their organisation as did the FGH. Respondents from all state run organisations, Cases A-D, identified legislation and state government as a factor influencing the development of MLCs and respondents from three of these organisations (A, B, D) also identified political interference. Both FGs commented on the political implications –*universities are politically structured (*FGF*) and there is a lot of political interference* (FGH). Respondents from all universities (Cases A-C) also commented on the need for a vision and action from decision makers to support the development of MLCs in HoDs. One FGH respondent posed the question - *what does the chancellor care about HoD*

management? (FGF). Case D respondents raised financial, political interference and work culture as obstacles. Case E and F also identified the role for decision makers as well as financial concerns.

Table 5.17: *Perceived obstacles to development of MLCs*

Theme	Case A	Case B	Case C	Case D	Case E	Case F	FGF	FGH
Union involvement	■				■			■
Legislation/ State government	■	■	■	■		■		■
Financial	■			■■	■	■		■
Political interference	■■	■		■			■	■
Work culture	■■		■	■	■■			■
Vision/Ability of decision makers	■	■■■■	■		■	■■	■	■

■ =1 respondent

(Source: Developed for this study using responses to Qu 21 of the interview protocol and from FG transcripts)

Given the responses above, it would appear then that there is an emerging pattern of difference between case organisations in respect to their organisational context. Cases C, E and F demonstrate differences in their organisational context to Cases A, B, and D. The former cases are described as having positives in one or more of the following features: rotating HoD role, positive work culture, positive managerial effectiveness, positive organisational effectiveness and future plans to develop an HR function. Supporting comments are provided in Table 5.18 below.

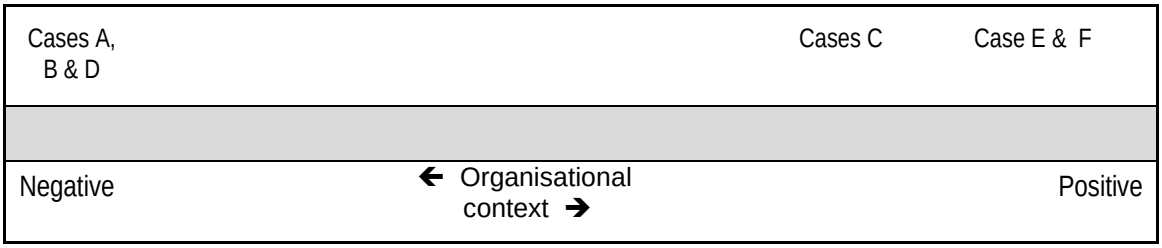
There appears to be two clusters of case organisations in the six cases representing a diversity of HEIs in Kerala,. Those having a more direct role with the Kerala state government (cases A, B and D) and those with other affiliations (Case E - semi private and Case F National institute). Case C, although currently reporting to Kerala state government, has an alternative structure (no affiliating colleges) and has been modelled on a federal HEI structure which is evolving into a Federal Indian Institute of Technology (IIT). The case differences across organisational context, are presented in Figure 5.5 below.

Table 5.18: *Theme and supporting comments: Obstacles to development of MLCs*

Theme	Supporting Comments
Union involvement	-*Unions: there is no prevailing atmosphere to create the motivation for change* (A006), and, *without union support nothing will happen* (E007)
Legislation/ State government	-*Seniority as key criteria for promotion to HoD is in statute of university and would take legislation to change this* (A002; B002) -*Has to be a government thrust for anything to occur* (C002; D003) *Government does not see a strong role for merit; has the attitude "why spend on quality; why bother?* (F004*)*
Financial	-*Lack of funds for training on competencies* (D002; D007; E004; A004) -*No budget for competencies development* (F002)
Political Interference	-*Politics - at present can influence decisions - it is discriminatory and would not result in fair allocation of training i.e. certain selected colleges and people would benefit based on political affiliation* (A001; A003);- *a competency approach is more transparent and logical and less able to be influenced* (B002) -*It would not be a corruption free process unless transparency can be assured* (D007) -*Corruption is on the rise and is now part of the culture;* -*Unless process can be fair and transparent will not work* (D007)
Work culture	-*Unwillingness to change* (A001) -*Not enough motivation or interest in changing* (A003; E004; E005) -*Work ethic needs to be redefined work ethic is still that of 50-60 years ago; needs to be in tune with modern times* (D003) -*The work culture is an obstacle to a competency approach* (C008)
Vision / Ability of Decision Makers	-*If the initiative need to come from administration then there will be difficulties because of financial constraints or getting an official decision* (A004) -*Mental mindset of decision makers* (A001; C002) -*No awareness of need for competencies* (B004; D004) -*University managed by people who do not know how to manage* (B001) -*Question of priorities - time; management are more concerned with routine issues; no collective ability to focus attention on need* (E003) -*Directive needs to come from university* (B003) -*Good vision and attitude to professional development needed at NITC* (F001) -*Awareness and initiative needed from management* (F006) -*Even good VC cannot transform system; need people with determination and creative leadership* (B006)

(Source: Developed for this study using responses to question 22 of the interview protocol; unsolicited comments from interviewees and from FG transcripts)

Figure 5.5: *Case differences across organisational context*



(Source: Developed for this study using Q 12 of the interview protocol (non HoDs) & Q 2, 12, 14, 15 & 16 of the HoD interview protocol)

In this section the implications of the organisational context on the development of MLCs has been described. The next section now considers RI3, the identification of required MLCs for HoDs.

5.9 R I 3. Head of Department roles and identified MLCs

In this section an analysis of the change in role or responsibility of HoDs across the six cases is firstly presented (Qu 2-3 & 5-8) and then the identified MLCs for all six cases are displayed (Qu 1, 4 and 9)[8]. Cross case patterns are also discussed (see Appendix I Section 5).

5.9.1 HoD Changes in role or responsibility and perceived problems

A pattern analysis of responses to the question of changes in HoD role and responsibility (Qu 5) indicated three key themes: organisational change (or lack of), balancing demands as a HoD (identified by one respondent in Case B and a number in Case F) and a theme of changed ML practices identified by respondents in Cases B and D. Supporting comments for each identified theme are provided below in Table 5.19.

Regarding organisational change, three of the case organisations are facing considerable change with Cases D and E having being identified by the UGC as colleges of excellence which can be granted the rights of autonomous colleges (subject to Kerala Government approval) and Case C which the UGC is intending to change into a national IIT (subject to Kerala Government relinquishing the organisation as a state university).

Some interviewees were forthcoming about the current difficulties faced by incumbents in the role of HoD. These issues were identified as: motivation, lack of power, rotation of role, and political influence. In Case A, one HoD respondent and the Syndicate member were both concerned about the issue of motivation:

> *No incentive to become HoD - no autonomy (A006),*
> *Handful of HoDs do well; other simply sit in chair and sign papers* (A007) and
> *Attitude of HoDs has to change; mindset is not appropriate; tendency in Kerala, once employed will sit; get automatic promotion (because of seniority) will become lazy and negligent* (A007).

[8] Respondents did not identify any competencies for Qu. 10 *what competencies are currently missing?*

Table 5 .19: *Identified themes in changes in role or responsibility of HoD*

Theme	Supporting Comments
Need for different managerial leadership skills	-*With globalisation and the predicted entry of foreign universities, there will be a need for new courses to attract students and HoDs will need a marketing orientation to sell their courses* (B004) -*New generation of HoDs are more aware of management and need to apply modern management practices* …(D005)
Balancing demands	-*Challenge is managing between the stability of the organisation and administration and the dynamism of an academic environment* (B007) -*More challenges than expected in becoming a HoD as there are many conflicting requirements* (F004) -*Balancing workload between students, research and* (role of) *HoD is difficult* (F002; F006)
Organisational Change	**Current organisational constraints** -*No incentive to become HoD- no autonomy, headaches; financial accountability if audit of books not correct then this can have a negative impact on the pension amount for retirement* (A001) --*Currently a very centralised system; need for decentralisation which will increase HoD responsibilities* (B007) -*Need to streamline administration procedures by reducing bureaucracy and (by) computerisation; making room for academic and people management role* (B004) -*More delegation and trust required from the management* (F004) *Need for more financial delegation at present can only spend Rs5000* (approx. A$160) (F001) -*More decentralisation of authority (needed); as institute grows this should become more so* (F007) **Future Change** -*Anticipate some changes in role as there will be more responsibilities e.g. curriculum and exam setting if college becomes autonomous* (D002) -*Also an increase in power of HoD with autonomy (of college)* (D003) -*No doubt there will be a change with the move to an IIT; increased administration responsibility; more time on infrastructure changes; structuring new course and improving existing courses* (C002; C003)

(Source: Developed for this study from responses to questions 5 & 8 of the interview protocol)

A respondent from Case B was concerned about the lack of power of the HoD - *the director (of the school) has no powers; can be described as a postman (delivering paperwork); maximum authority to spend Rs 5000 approx. [A$160]* (B001). This was also supported by the FGH (Case D) with one group member remarking that - *HoDs have no power* (FGH). In Case C the Syndicate member was concerned about the rotation of the HoD role:

> *Since 2000 CUSAT has had policy of rotating HoD between readers and professors on a three yearly rotation to allow more junior staff into the management cadre; that is a good reason but the rotation generally does not work as it takes a year to get into the role; one year to achieve and then thinking about leaving in third year; fosters a climate of non risk takers* (C008).

It is of interest to note that the rotation of the role was identified as a positive in the organisational context by a Case C respondent from the syndicate (Appendix I: section 5) however the same respondent also identified, as indicated above, a negative side of this practice. This position was also supported by a Superior from Case C:

> *Rotation of HoD is both good and bad; able to get long time "stale" professors out of role; but sometimes people without the right skills are rotated into the HoD role* (C007).

Political interference (raised by a respondent in Case B and by 4 in Case D, in regard to organisational effectiveness - section 5.8.3 - and raised by respondents from Cases A, B, and D section 5.8.8) was also raised here as one of the problems being faced by respondents in three cases and this is presented in Table 5.20.

Table 5.20: *Political influence on HoD role: All cases*

Theme	Supporting Comments
Political influence	*-Lots of prejudice and harassment in the form of delays or lost papers etc, perhaps because of personal animosity or jealousy or because you belong to another political party* (A001) *-Rule is that students must attend class 70% of time to sit examination; one student came who had not sat in classes for 3 years; so HoD refused to sign form; student went to Principal and as (student was) from strong political party ; was granted permission… makes you lose your morale –'why should I bother because no one else does'* (D003) *-Political unions can come and pressure HoD to withdraw a complaint made against a staff member if for example they are absent too many times or not performing in their job; difficult to resist as they will make a stir and cause government intervention* (D001) *-Every HoD may receive continual harassment by political representatives* (B007)

(Source: Developed for this study from unsolicited responses from interviewees)

5.9.2 Identified Managerial Leadership Competencies (MLCs) required for HoDs

HoD respondents were asked a number of different questions designed to elicit their views on the key MLCs required for HoDs. The number of responses and length of time taken by respondents varied. This meant that some respondents identified many more MLCs than others and used different terminology to describe these. A pattern analysis resulted in the Researcher needing to make determinations as to which descriptions fitted into which category. The final allocation of descriptions into categories is thus somewhat subjective and is a feature of competency identification (refer section 3.5.2.4). As result of this analysis, 24 competencies were identified with varying frequency of occurrence and spread across cases, and these are presented below in Table 5.21 below.

Table 5.21: *Identified MLCs of HoDs by HoDs: Frequency and spread N=36*

Code	Identified Competency	Frequency	Spread	Frequency x spread
C12	**Figurehead** (including role model, head of family)	29	6	174
C11	**Interpersonal skills** (People management including: consultation, facilitation, demonstrating respect, counselling, relationship building and maintenance)	27	6	162
C17	**Negotiation/Influencing skills** (including diplomacy)	21	6	126
C2	**Administration**: e.g. following routine procedures; exercising authority to approve and request items and authority given to HoD by organisation	20	6	120
C20	**Problem solving** (including crisis management)	14	6	84
C8	**Developing people**: development mentality to develop both administration and academic staff	14	6	84
C1	**Academic (role)**: as head of subject, research role; eminent scholar	14	5	70
C4	**Communication skills:** (including effective listening; giving and receiving feedback)	13	5	65
C16	**Motivating others** (including developing a positive work culture)	12	5	60
C9	**Innovation approach** (including initiative and development of new proposals)	11	5	55
C18	**Organising: e.g.** seminars, conferences, debates	9	6	54
C19	**Planning and objective setting**	13	4	52
C14	**Managing resources:** information, finances, infrastructure and multiple programmes	9	5	45
C5	**Co-ordination**	10	4	40
C10	**Integrity/Ethics**	10	4	40
C15	**Monitoring and control**: e.g. classes, staff, workloads, productivity, quality	10	4	40
C6	**Decision making** (including participative decision making and autonomous role (to make decisions)	10	3	30
C7	**Developing and communicating a vision**	7	4	28
C24	**Time management**	7	4	28
C23	**Teamwork**	7	3	21
C22	**Stakeholder focus** (including political and student stakeholder groups)	6	3	18
C13	**Liaison and networking**	4	3	12
C21	**Quality improvement and best practice**	4	1	4
C3	**Change management**	4	1	4

Key

Competency identified by HoDs from all 6 cases	

(Developed for this study from questions 1, 4 and 9 of the interview protocol)

Of these 24 MLCs seven were identified by respondents from all cases and these are: *figurehead, interpersonal skills, negotiation/ influencing skills, administration, problem solving* and *developing people*. *Organising skills* was also mentioned by respondents across all cases but with a lower frequency. A second cluster of five MLCs were identified by respondents in five of the six cases and these are: *academic role, communication, motivating others, innovation approach* and *managing resources. A* third cluster of six was identified by respondents in four cases and these are: *planning and objective setting, co-ordination, integrity/ ethics, monitoring and control, developing and communicating a vision* and *time management.* It is interesting to note the inclusion on integrity and ethics by respondents given the comments made in regard to corruption in Kerala and even in the case organisations themselves. Also the superiors group rated this MLC much higher than the HoDs themselves (see Table 5.22).

The other MLCs identified by respondents were from three or fewer cases (refer Appendix I: Table I 19). Respondents from the three university cases (A-C) identified *decision making, stakeholder focus,* and *teamwork* in common. Case A respondents also emphasised *change management*, *liaison and networking* and *quality improvement and best practice.* Case D and F respondents also identified *liaison and networking*. It is interesting to note that though Cases C, D and E are all facing organisational change (Case C becoming an IIT and Cases D and E moving to become autonomous colleges), the only respondents to be concerned with change management were from Case A. In total 18 MLCs were selected by respondents from two thirds or more of the cases.

The results from the Superior interviews based on frequency (refer Appendix I Table I 20) presented in Table 5.22 below show general support of the top MLCs identified by the HoDs. Seventy five percent (18/24) of MLCs were supported (though not always in the same priority order) by Superiors as a group. *Developing people* was valued much more highly by the HoDs than by their Superiors. *Planning and objective setting, monitoring and control, managing resources, quality improvement and best practice* and *change management* were identified by HoDs but were not identified by the Superiors' group. This may be indicative that the relevant head or assisting head of the organisation does not sufficiently understand the HoD role and thus the MLCs required.

Table 5.22: *Identified MLCs of HoDs by ranking by HoDs (N=36) and by Superiors (N=6)*

Code	Identified Competency	HoD ranking#	Superior ranking#
C12	**Figurehead** (including role model, head of family)	1	1
C11	**Interpersonal skills** (People management including: consultation, facilitation, demonstrating respect, counselling, relationship building and maintenance)	2	2
C17	**Negotiation/Influencing skills** (including diplomacy)	3	6
C2	**Administration**: e.g. following routine procedures; exercising authority to approve and request items given to HoD by organisation	4	4
C20	**Problem solving** (including crisis management)	5	8
C8	**Developing people**: development mentality to develop both administration and academic staff	5	13
C1	**Academic (role)**: as head of subject, research role; eminent scholar	7	6
C4	**Communication skills** (including effective listening; giving and receiving feedback)	8	8
C16	**Motivating others** (including developing a positive work culture)	9	8
C9	**Innovation approach** (including initiative and development of new proposals)	10	4
C18	**Organising: e.g.** seminars, conferences, debates	11	13
C19	**Planning and objective setting**	12	
C14	**Managing resources:** information, finances, infrastructure and multiple programmes	**13**	
C5	**Co-ordination**	14	3
C10	**Integrity/Ethics**	14	8
C15	**Monitoring and control**: e.g. classes, staff, workloads, productivity, quality	14	
C6	**Decision making** (including participative decision making and autonomous role (to make decisions)	17	8
C7	**Developing and communicating a vision**	18	13
C24	**Time management**	18	
C23	**Teamwork**	20	13
C22	**Stakeholder focus** (including political and student stakeholder groups)	21	13
C13	**Liaison and networking**	22	13
C21	**Quality improvement and best practice**	23	
C3	**Change management**	23	

Key

Competency supported by HoD focus group results	

 # Based on frequency x spread response – a number of competencies share equal ranking (Table 5.21)
(Developed for this study from questions 1, 4 and 9 of the interview protocol and from FG transcripts)

Contrastively there were a number of MLCs valued more highly by the Superiors group including *co-ordination*, an *innovation approach* and *decision making.* This may be suggestive that there are different perceptions of the Superiors and the HoDs and that communication about, and clarity of, the role has not been established in the case organisations.

These 24 MLCs were presented to both of the focus groups. The FGH participants commented that though all of the MLCs were important, they identified a number of key MLCs. Eight of the top ten MLCs identified by the HoD interviewees were supported by the HoD FG, with *C19 planning and objective setting* and *C4 communication skills* not being selected in the top 10 (see Appendix I Table 29). The FGF members supported all 24 of these identified MLCs. There was thus general support from both the HoD and Follower FGs for these results. One important point stressed in the HoD FG was the need for HoDs to be politically astute: *head is in trouble unless can manage the politics* (FGH001). This was also reiterated by the Followers FG participants' who responded to the question: *what are the best skills in a HoD* with the following two priorities:

- Being able to get along with people, and
- Having the right political and government connections.

However the need for political astuteness was not acknowledged per se and was included in the *stakeholder focus* competency which was ranked lower in the frequency analysis.
The results described above, indicate a number of commonalities across the six cases, suggesting a high degree of similarity across all cases irrespective of differences in size or type.

Having presented a cross case and combined case analysis on the MLCs required by HoDs in Kerala HEIs, identified by interview, the analysis of the data, on a cross case basis for the 24 MLCs of the CVM, is presented in the next section.

5.10 R I 4. Differences of MLCs for HoDs at Kerala HEIs from the literature

Data presented in this section was collected via Part 2 of the *KUACAT*. The analysis of data in this section focused on two areas. Firstly a cross case and all case analysis of the relevance of the 24 MLCs in Quinn et al's (2003) CVM is described. Then the identification of MLCs from the CVM is contrasted with the competencies identified by HoDs at interview and a comparison of their similarities and differences is made.

5.10.1 Competing Values Model (CVM)

The interviewed HoDs as a group identified all the MLCs from Quinn et al's (2003) model as having relevance to their work function [see Appendix I: Table I 21] (though

with some case respondents rating MLCs as *somewhat important*). The cross case analysis identified eleven MLCs (cluster1) for the role of the HoD that have agreement across all six cases, with a rating of *important* or higher. A further nine MLCs (cluster2) were rated on average as *important* or higher by respondents from five of the six cases and three MLCs (cluster 3) rated as *important* or higher by respondents in four cases. These competencies are displayed in Table 5.23. Thus the vast majority (96%) of MLCs were selected by respondents from the majority of cases as *important* or higher.

Table 5.23: *Selected MLCs by cluster*

Cluster 1	Cluster 2	Cluster 3
Ca) Understanding self and others Cb) Communicating effectively Cc) Developing employees Cf) Managing conflict Cg) Monitoring individual performance Cm) Developing and communicating a vision Cn) Setting goals and objectives Cq) Fostering a productive work environment Cu) Presenting ideas Cv) Managing change, and Cw) Thinking creatively.	Ce) Use participative decision making Ch) Managing collective performance and processes Cj) Managing projects Ck) Designing work Co) Designing and organising Cp) Working productively Cr) Managing time and stress, and Cx) Handling change.	Cd) Building teams Ci) Analysing information with critical thinking, and Ct) Negotiating agreement and commitment.

[Developed for this study from section 2 of the KUACAT]

Whilst there was some individual case variation no pattern could be discerned across type or size of cases with the exception of Cs) which was rated as less important for the three universities (2.0-2.8) and as more important for the two colleges and the deemed university (3.5-4.0). In considering this data for the major case the 24 MLCs can be prioritised from *highly important* to *somewhat important* and are presented in Table 5.24 below.

From this analysis *understanding self and others* was rated as *very important* across all cases with another 22 MLCs receiving an average rating of *important.* As can be seen from the cross case analysis *building and maintaining a power base* was the only competency which rated as *somewhat important* (though with an average rating of 2.9 it

was very close to a 3 (*important)* and had an average score from three cases of *important*). This is an interesting result given the emphasis on HoDs needing to manage *politics* in this study. Hence the need to manage politics may be different across cases.

Table 5.24: *All case analysis of Quinn et al's (2003) 24 MLCs (by HoDs) by rating*

Average rating HoD	HoD Rank	Competency	HoD FG ranking	Superior rank	Average rating Superior
4.0	**1**	Understanding self and others	**1**	**17**	3.2
3.9	**2**	Developing and communicating a vision	**4**	**10**	3.5
3.9	**2**	Communicating effectively	**3**	**1**	4
3.9	**2**	Thinking creatively	**5**	**1**	4
3.8	**5**	Setting goals and objectives	**2**	**10**	3.5
3.7	**6**	Use participative decision making	**9**	**4**	3.8
3.6	**7**	Monitoring individual performance	**7**	**14**	3.3
3.6	**7**	Working productively	**12**	**7**	3.7
3.6	**7**	Managing collective performance and processes	**8**	**10**	3.5
3.6	**7**	Fostering a productive work environment	**19**	**1**	4
3.5	**11**	Presenting ideas	**6**	**14**	3.3
3.5	**11**	Managing change	**13**	**21**	2.8
3.5	**11**	Developing employees	**11**	**7**	3.7
3.5	**11**	Handling change	**14**	**18**	3
3.4	**15**	Managing conflict	**22**	**7**	3.7
3.4	**15**	Analysing information with critical thinking	**10**	**4**	3.8
3.4	**15**	Designing and organising	**17**	**18**	3
3.4	**15**	Managing time and stress	**15**	**10**	3.5
3.4	**15**	Building teams	**16**	**4**	3.8
3.4	**15**	Managing projects	**20**	**21**	2.8
3.3	**21**	Negotiating agreement and commitment	**21**	**14**	3.3
3.1	**22**	Designing work	**18**	**18**	3
3.0	**23**	Managing across functions	**23**	**21**	2.8
2.9	**24**	Building and maintaining a power base	**24**	**21**	2.8

KEY: Rating scale

1	*Not important at all*	*2*	*Somewhat important*	*3*	*Important*	*4*	*Very Important*	*5*	*Absolutely Critical*

[Developed for this study from section 2 of the KUACAT]

Turning to the FG results, the HoD FG participants (see Table 5.24 above) broadly supported these all-case results. The FG also identified the competency of *understanding self and others* as the top competency. Their results were very reflective of top ratings for the HoD group with only one exception: *fostering a productive work environment* which the FG ranked at number 19 compared to an equal ranking of 7 by the interviewed HoDs.

The FG also ranked *managing conflict* much lower than the HoDs. On the other hand, *presenting ideas* and *analysing information with critical thinking* were rated more highly by the FGH members than the interviewed HoDs. This may be because all of the FG HoDs were drawn from one case and thus may not reflect the combined data. Data was not collected from the Followers' FG as there was insufficient time.

The combined data for Superiors for the 24 MLCs (see Appendix I Table I 22) are also presented in Table 5.24. The importance of these MLCs is, in general, supported by the Superiors group, though at times the level of importance between the groups may vary. The Superiors rated a number of MLCs with average scores falling into the *somewhat important* rating compared to the HoDs and these are: *managing change* (21 versus 11), *managing projects* (21 versus 15), and *managing across functions* (21 versus 23).

As well there were some clear differences in priority amongst some of the MLCs. Of particular note is the difference in the ranking of the following MLCs by the interviewed HoDs compared with the Superior groups view of their importance: *understanding self and others* (1 versus 17), *monitoring individual performance* (7 versus 14), *managing change* (11 versus 21), *handling change* (11 versus 18), *managing conflict* (15 versus 7), *analysing information with critical thinking* (15 versus 4), *building teams* (15 versus 4), and *negotiating agreement and commitment* (21 versus 14). As discussed in section 5.11.2, again these variations may be reflective of varying perceptions of the HoDs role and required MLCs between the Superiors and the HoDs themselves.

5.10.1.1 HoD roles identified through the Competing Values Model (CVM)

From this analysis a variety of roles, as indicated in the CVM, are seen as important for the HoD to carry out their function. The top eleven MLCs fall into the *mentor*, *director*, *innovator*, *facilitator*, *monitor* and *producer* roles. The only role that had all three associated MLCs selected in the top eleven was the Mentor role. The least identified roles are that of the *broker* and *co-ordinator* roles as presented in Table 5.25.

The relevance of all 24 of Quinn et al's (2003) MLCs to the HoDs of the six case organisations was presented in this section, as well as identifying the importance of these MLCs and their roles through cross case and all case analysis. The results of the CVM

competencies are contrasted to the identified MLCs selected by respondents through the interview process, in the next section.

Table 5.25: *All case analysis of CVM competencies (by HoDs) by ranking and role*

Rank	Competency	Associated role
1	Understanding self and others	Mentor
2	Developing and communicating a vision	Director
2	Communicating effectively	Mentor
2	Thinking creatively	Innovator
5	Setting goals and objectives	Director
6	Use participative decision making	Facilitator
7	Monitoring individual performance	Monitor
7	Working productively	Producer
7	Managing collective performance and processes	Monitor
7	Fostering a productive work environment	Producer
11	Presenting ideas	Broker
11	Managing change	Innovator
11	Developing employees	Mentor
11	Handling change	Innovator
15	Managing conflict	Facilitator
15	Analysing information with critical thinking	Monitor
15	Designing and organising	Director
15	Managing time and stress	Producer
15	Building teams	Facilitator
15	Managing projects	Co-ordinator
21	Negotiating agreement and commitment	Broker
22	Designing work	Co-ordinator
23	Managing across functions	Co-ordinator
24	Building and maintaining a power base	Broker

[Developed for this study from section 2 of the KUACAT and Quinn et al (2003)] N= 36

5.10.2 Results of the CVM compared to identified MLCs of HoDs

To better understand the MLCs required by HoDs to function effectively in their role, an analysis across data sets was conducted The identified MLCs through HoD interview [by frequency] were compared with the ratings by HoDs of MLCs identified in the CVM (Quinn et al. 2003). There is a strong relationship between 20 of the 24 (83%) MLCs from Quinn et al (2003) and those identified by respondents of this study. The data is presented in Table 5.26 below.

Table 5.26: *Comparison of CVM MLCs to MLCs identified by HoDs from interviews: All cases*

CVM Competency	Competency identified by HoDs	
(Ca) Understanding self and others	C11 Interpersonal skills	
(Cm) Developing &communicating a vision	C7 Developing & communicating a vision	
(Cb) Communicating effectively	C4 Communication skills	
(Cw) Thinking creatively	C9 Innovation approach	
(Cn) Setting goals and objectives	C19 Planning and objective setting	
(Ce) Use participative decision making	C6 Decision making	
(Cg) Monitoring individual performance	C15 Monitoring and control	
(Cp) Working productively	C16 Motivating others	
(Ch) Managing collective performance & processes	C15 Monitoring and control C21 Quality improvement & best practice	
(Cq) Fostering a productive work environment	C24 Time management	
(Cu) Presenting ideas		
(Cv) Managing change	C3 Change management#	
(Cc) Developing employees	C8 Developing people	
(Cx) Handling change	C3 Change management#	
(Cf) Managing conflict	C17 Negotiating and influencing	
(Ci) Analysing information with critical thinking	C20 Problem solving	
(Co) Designing and organising	C5 Co-ordination C18 Organising C14 Managing resources C2 Administration	
(Cr) Managing time and stress	C24 Time management	
(Cd) Building teams	C23 Teamwork	
(Cj) Managing projects		
(Ct) Negotiating agreement and commitment	C17 Negotiating and influencing	
(Ck) Designing work		
(Cl) Managing across functions		
(Cs) Building and maintaining a power base	C13 Liaison and networking	

KEY: Agreement Yes No *N= 36*

 # Comments not specific enough to determine if the competency was handling or managing change
(Source: Developed for this study from Qu5 & 8 of the interview protocol, KUACAT section 2 and Quinn et al 2003)

The four MLCs of the CVM, which were not identified by HoDs at interview, are: Cj- Managing projects; Ck- Designing work; Cl- Managing across functions, and Cu- Presenting ideas. Whilst most of these are ranked lower in the analysis (from 15 to 23) *presenting ideas* was ranked equal 11th (refer Table 5.25). Despite respondents not identifying these spontaneously at interview, respondents did select and rate the MLCs from the *KUACAT*.

Turning now to the competencies that were identified at interview, 20 of the 24 competencies (83%) identified from interview corresponded to the CVM. There were four MLCs identified by respondents at interview that did not fit readily into the descriptions of the CVM competencies (refer **Appendix K**) and these were: C1 *academic role*, C10 *integrity/ethics*, C12 *figurehead* and C22 *stakeholder focus*. It should be noted that the identified competency of C1 *academic role* (identified in 5/6 cases) can be considered as a technical role or job specific competency (JSC) and hence has no corresponding competency in the Quinn et al (2003) model, nor for this study - which was looking at MLCs. Turning to the other three competencies, C22 *stakeholder focus* (Cases A-C), C10 *integrity/ethics* (Cases C, D, E & F) did not have a high number of responses supporting these, nor were they represented across all cases. Competency C12 *figurehead*, by contrast was mentioned across all six cases and supported by the Superiors and both focus groups (FGs). They thus can be postulated to be organisation specific competencies.

Given these results there is a strong agreement (83%) between HoDs about the MLCs required within Kerala HEIs and the identified MLCs in Quinn et al's (2003) CVM. This is suggestive of a relationship between MLCs identified from the western research literature and various organisations do have relevance for the HoDs in the six cases in this study. The cross case and all case analysis demonstrated that all 24 MLCs from the CVM had support (to a varying degree from *very important* to *somewhat important*) as MLCs required by HoDs.

5.11 R I 5 Implications for the development of MLCs of HoDs

In this section, data on ways to develop MLCs from an organisational perspective is presented. The need for ML activities to develop the required MLCs of HoDs is also presented and, lastly, the type of ML activities preferred by HoDs, are described.

5.11.1 Identified ways to develop MLCs from an organisational perspective

Four issues were raised in response to this issue: the need for government direction, implementation of a quality system in the organisations, the introduction of ML training and improvement of HR processes. The key themes to emerge were that of the need for *improvement of HR processes* and *ML training.* The need for ML training was supported by respondents who identified training in their assessment of HR function within the case organisations (section 5.9.6). Details across cases are provided in Table 5.27.

Table 5.27: *Organisational direction required to support the development of MLCs*

Theme	Case A	Case B	Case C	Case D	Case E	Case F	FGH
Government			X	X			X
Implementation of a quality system in organisation	XX		X				X
Managerial leadership training	XX		X	X	X	XX	X
Improvement of HR processes	XXX XXX	XXX	X	XX	X		X

X indicates number of responses from each case organisation

(Source: Developed for this study using responses to question 28 of the interview protocol and from FG transcript)

The most prevalent theme to emerge for Cases A and B was that of the need to improve HR processes, whilst respondents from Case C commented on each of the four issues raised. Case D respondents commented on three of the four issues, whilst Cases E and F respondents were most concerned about the need for ML training. The FGH members supported each of these issues.

5.11.2 Need for, and type of, managerial leadership development (MLD)

The majority of respondents (93%) were in favour of the introduction of a programme to develop MLCs in HoDs. Some respondents felt that there were some obstacles to overcome and that the introduction of MLCs may not work:

> -*Competencies not possible in environment because it is a political environment and would work only if it objectively done (*A002)
> -*Competency definitely matters at the university but people are looking for comfort (therefore no action will be taken*) (C002).

All 35 HoDs surveyed on this item, developed from Dhorranintra (1999), selected at least one development activity that would benefit them in the development of their MLCs (see Appendix I - Table I 31). The HoD and FGH results are presented in Table 5.28.

Table 5.28: *Identified MLD activities by HoD frequency and percentage and FGH ranking*

Description	Frequency	% of number of respondents	FGH Ranking Top 10 N=3
Classroom lectures	26	74.	
Personal development programs	25	71	1
Training programs	21	63	2
Films and videos	22	60	
Mentoring	20	57	10
Content coaching	17	49	7
Developmental assessment centres & workshops	17	49	3
Case discussion	17	49	
Special assignment	15	43	
Job rotation	15	43	
Action learning	13	37	9
Simulation exercise.	13	37	8
Outdoor challenge programs	12	34	4
Behaviour role modelling	12	34	
Multi-source feedback workshops (360-degree rating)	11	31	
Business games	10	28	
In-depth development coaching	10	28	6
Feedback coaching	9	26	5

(Source: Developed for this study using responses from part 5 of the KUACAT) N=35

Five of the 18 items offered to the interviewees as choices were accepted by respondents from four or more of the cases:

1. Classroom lectures — all cases
2. Personal development programs — A, B, D, E and F
3. Training programs — A, B, C and D
4. Films and videos — B, D, E, and F
5. Mentoring — A, B, D and F.

In comparing these results, to that of the FGH ranking, the HoD results were not fully supported by FG HoDs who only ranked three activities *personal development programs*, *training programs*, and *mentoring* in the top 10 activities.

The only response from FGF participants was that *training for HoDs was a good idea* (FGF001) and that *two to three people (from each department) should get management training* (FGF003) so that MLD not be limited to the incumbent HoD but also be given to others potential HoDs .

5.12 Summary

This chapter has presented the research findings from the study based around the five research issues. Consideration of R I 1 has highlighted the key themes and cultural dimensions of Kerala. In R I 1.1 implications of the cultural context on the development of Managerial Leadership Competencies (MLCs) have been identified. Political influence on, and corruption within, the organisation, relationships and seniority are all seen as strong cultural values which may impact on the MLCs of HoDs. In R I 2 the specific organisational environment of the case organisations was considered. Five organisational challenges were identified. HEIs in the sample, when analysed using the Competing Values Model (CVM) (Quinn & Spreitzer 1991) were found to having competing organisational cultures, with Rational and Developmental cultures as the most prevalent across cases. Data on organisation and managerial effectiveness and work culture was also presented with work culture found to be not suitable for the state organisations. In considering HRM sophistication, none of the six cases have an existing HR department and HR issues were raised as an area of need.

In R I 2.1 the results indicated six factors that could impact on the development of MLCs. Findings from R1 3 identified 24 MLCs required by HoDs. The results from R I 4 indicated the relevance of all 24 of the CVM MLCs to the HoDs. Results indicated that 83 percent of MLCs identified by respondents via interview correspond to those identified in the CVM (Quinn et al 2003). Of the additional MLCs one was considered as a Job Specific Competency (JSC) and three were considered as Organisation Specific Competencies (OSCs). In R I 5, two implications were identified for the development of MLCs: improvement of HR processes and ML training. The majority of respondents were in favour of the introduction of a programme to develop MLCs in HoDs and the five top development activities were identified. The results are discussed, implications are drawn and conclusions of the study are made in the last chapter - Chapter six.

Chapter Six: Discussion and implications

6.1 Introduction

The previous chapter presented the analysis of the data collected from the six embedded cases against each of the five identified research issues using within-case, cross-case and all case analysis. This chapter presents a discussion of the results and demonstrates the contribution to knowledge by interpreting the findings, presented in Chapter five, within the context of prior research discussed in Chapters two and three. Thus the objective of this chapter is to consider the implications of the results and compare these results to the literature in order to draw out the unique contributions that this study has made in answering the question:

What are the required MLCs for HoDs, within the cultural and organisational context of Kerala HEIs, and how can these competencies be developed?

Both the advance in the area of and contributions to, knowledge will be discussed in more detail. Section 6.2 contains the conclusions reached and is organised by research issue. Here, research findings are explained within the context of the relevant literature. Conclusions are drawn about the research problem (section 6.3), and implications for theory (section 6.4) are spelled out. Following this, practical implications for Government, HEIs and HoDs are presented (section 6.5). The limitations of this research are discussed (section 6.6); the implications for methodology are presented (section 6.7) and the implications for further research (section 6.8) are delineated. The chapter, and the study, conclude in section 6.9.

6.2 Conclusions about the research issues

This section contains the conclusions reached on the five research issues in the context of the relevant literature presented in Chapters two and three.

6.2.1 Conclusions about R I 1: Cultural context within Kerala

Culture has been identified as a key factor influencing different attitudes and values of managers (Adler 1997) and behaviour at work (Graf 2004; Hofstede 1998; Lim 1995). Thus the first intention in resolving the research problem was to better understand the culture of Kerala (R I1) and how this may impact on the identification of MLCs (R I 1.1).

6.2.1.1 Perceptions of Kerala Culture

Qualitative findings from this study identified four major themes prevalent in Kerala culture; three positive and one negative factor. Of the positive factors, *traditions*, *relationships*, and *values* are all considered by Hofstede (2005) to be essential components of a country or region's culture and the identification of these three themes by respondents is consistent with this position. The theme of traditions emphasised the caste system which is consistent with literature on Kerala (see Table 2.6) and also with a high power distance (Chhokar 2007; Hofstede 2005; Kanungo & Mendonca 1994). The theme of *Relationships* confirmed the role of family and children and again stressed the high value of education to families. Values are considered to be at the core of culture (Hofstede 2005) and six values were identified in this study by respondents. However as so few respondents commented on the question in regard to values it is unclear if these values are consistent across HoDs in Kerala HEIs.

The findings from this study support the literature on *poor work culture* in Indian HEIs identified by Gupta (2004b) and Sodha and Srivastava (2004) as well as supporting the Kerala based studies of Joseph (2004) and Zachariah, Mathew and Rajan (2003) who found that trade union militancy and political interference have resulted in a poor work culture in Kerala. The issue of work ethic has also been raised in R I 2 and will be further addressed in section 6.2.2.2.

6.2.1.2 Cultural dimensions

The findings of this study show both similarities and differences with the extant literature and these are summarised in Table 6.1.

Table 6.1: *Similarities and differences of cultural dimensions: Kerala and India*

Dimension	Hofstede India	Other Studies India	Findings from this Kerala study
Individualism vs. Collectivism	*Medium collectivist* orientation	*Medium collectivist* orientation (Sharma 1984); Relatively high collectivism (Chhokar 2007).	Medium
Femininity vs. Masculinity	*Medium masculinity*	*Relative low masculinity* (Kanungo & Mendonca 1994).	Feminine
Power Distance (PD)	*High power distance*	*High PD*: (Chhokar 2007; Kanungo & Mendonca 1994).	Approx. equal leaning to Low
Uncertainty Avoidance (UA)	*Low uncertainty avoidance*	*Relatively high UA*: (Kanungo & Mendonca 1994). Low uncertainty avoidance (Chhokar 2007)	Low

(Developed for this study from Chhokar (2007), Hofstede (2005), Kanungo and Mendonca (1994) and Sharma (1984) and findings from this study)

An all case analysis of the data indicated a *neutral to collectivist* rating and this can be considered consistent with the rating of 'medium collectivist' of IBM employees in India identified by Hofstede (2005) and Sharma (1984), in contrast to Chhokar (2007) who identified relatively high collectivism. A more *feministic* rather than masculine orientation in this study is aligned with the work of Kanungo and Mendonca (1994). This result lends some support to Parayil (2000) who suggests there is gender equity in the state, placing Kerala in a unique position compared to other Indian states. According to Lagrosen (2003), a more feminine dimension indicates managers who strive for consensus and resolve conflicts by negotiations. This is consistent with the findings of two of the MLCs required by HoDs –*negotiating and influencing* (C17), ranked third and *decision making* [which included participative decision making] (C6) ranked equal 12th.

Power distance (PD) was rated as almost equal in the all case analysis between low and high. This is in contrast to other India studies (Chhokar 2007; Hofstede 2005; Kanungo & Mendonca 1994) which indicated a high power distance. Caste is part of a high PD and though this was recognised as still being important according to one respondent the emphasis is decreasing. The fact that this dimension also varies from the all India ratings may well be indicative of the unique nature of Kerala (Dreze & Sen 2004; Oommen 1999) with its strong communist underpinning (Joseph 2004; Ramachandran 2004) which is juxtaposed to the culture of caste and Hinduism.

The rating of low *uncertainty avoidance* is consistent with the findings of Hofstede (1980). The uncertainty avoidance dimension reflects the need to avoid ambiguous situations, by the development of explicit rules and adhering to regulations (Tata & Prasad 1998). The environment of Kerala HEIs with politics and trade unions impacting on decision making, as well as the influence of corrupt practices are two examples of the failure to adhere to regulations and is thus consistent with a low uncertainty avoidance rating. This may be a reason why two MLCs *negotiating and influencing* (C17) and *interpersonal skills* (C11), both needed to deal with these factors, were rated highly by HoDs. It can thus be postulated that these MLCs are required for HoDs to operate in this environment. The respondents' views about time orientation were not clear across the cases. Furthermore no clear pattern discerning size or type of organisation could be inferred from the analysis.

As indicated above, the results of this study vary in two dimensions from those of Hofstede (1980). Three reasons may be postulated for these differing results. Firstly, the sample size for each organisation is low and further data may uncover a clearer pattern. This is discussed in section 6.6.1. Secondly, the HoDs should not be considered as representative of the general population of Kerala thus the perceptions of Kerala culture reported may vary from that of a wider population. Finally, regional cultures may vary from those of a national identity (Oommen 1999; Pheng & Alfelor 2000). The findings of this study are thus supportive contention that the specific sub culture needs to be considered (Budhwar 2003; Chhokar 2007; Triandis 2004) and Kanter and Corn's (1994) assertion that consideration of central country value can fail to consider the heterogeneity within countries.

Whilst this study is able to contribute to the understanding of Indian culture in the state of Kerala, the results are not strongly conclusive as individuals held a variety of views on the culture in Kerala. Some of the variation in responses may be linked to the changing culture within India as a whole, and also Kerala, as both western influences, and the impact of the global economy, have been influencing culture since liberalisation of the Indian economy. The literature indicates that the interplay between traditional and western culture occurring in India may result in different cultural aspects coexisting or creating a conflict of management (Budhwar 2003; Neelankavil, Mathur & Zang 2000). This is supported by Hofstede's (2005) contention that whilst cultural values may be more permanent, cultural practices are more subject to change.

6.2.1.3 Conclusions about R I 1.1: Implications of the cultural context within Kerala

Having considered the perceptions of Kerala culture and cultural dimensions, it is important to now understand *the implications of the cultural context on the development of MLCs.* Corruption and in particular in *politics* and *trade unions,* was a key issue raised in this study and this is consistent with findings from As-Saber, Dowling and Liesch (1998) and specifically to studies in Indian HEIs (Gopalan 2001; Negi 2004; Pylee 1999). Therefore the use of transparent and observable behaviours such as competencies (Bergenhenegouwen, Ten Horn & Mooijman 1997; Heffernan & Flood 2000; Horton 2000a; Lucia & Lepsinger 1999) may run counter to the forces being applied in the case organisations by both political parties and trade unions who, according to respondents,

have their own agendas for 'pushing' certain individuals into decision making positions within Kerala HEIs.

Turning to a second key issue, the lack of acceptance of MLCs within the Kerala cultural context, the *significance of seniority* was identified. Promotion by seniority is consistent with findings from Rao and Das (2004) who found a lack of value placed on performance appraisals in determining an applicant's competency for the position. Promotion by seniority, is thus contrary to promotion by merit using competencies (Heffernan & Flood 2000). This cultural implication limits the potential benefits of the use of MLCs for purposes of selection to the HoD position. However recognising the next person 'in line' for the position may well be beneficial in terms of offering competency based MLD to equip the incoming incumbent for their new role.

Having considered the inhibiting cultural factors, the focus turns to the cultural factors that may impact on which MLCs are needed by HoDs. The third pattern is the importance of MLCs that are needed in managing *relationships* (refer section 5.8). Respondents identified the strength of family, consensus approach and the depth of relationships as important cultural factors. These two themes are consistent with the literature; in particular Hofstede's (1993) views that management practices are aligned to processes occurring in society; that the broader culture drives management culture (Hofstede 2001b); and also that different cultures value different aspects of leadership (Den Hartog et al. 1999). This is also consistent with findings in R I 1 which found that relationships were one of the key factors in Kerala culture. Additionally, the strength of relationships as an important cultural factor may be postulated as to the reason for the high ranking (second) of (C11) *interpersonal skills* MLC (section 5.9.2). This MLC has an emphasis on people skills, influencing and negotiation, demonstrating respect and relationship building, which are all highly important skills in supporting relationships.

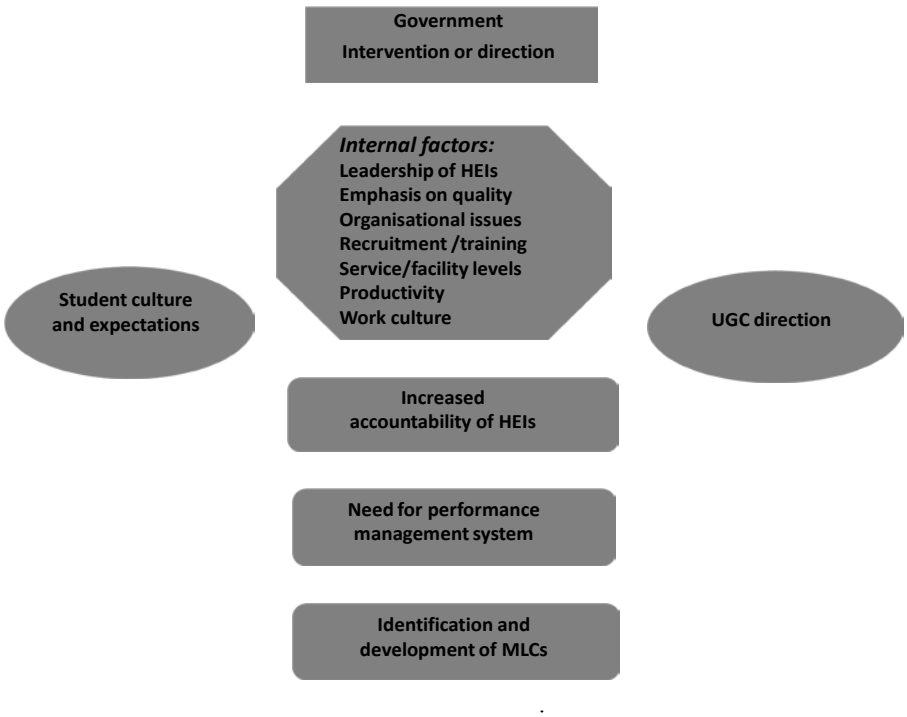
6.2.2 Conclusions about R I 2: Organisational context of Kerala's HEIs

Four themes emerged in regard to the organisational context: the challenges being faced by HEIs; the identification of the organisational culture or cultures present in the six cases; perceptions of organisational and managerial effectiveness and work culture; and an understanding of HR functions.

6.2.2.1 Organisational challenges

Findings of this study found differences between types of HEIs (state run, federal or private) in regard to the challenges being faced by the various HEIs in this study. The issues facing the six case organisations under study supported, to some degree, the literature describing challenges to Indian HEIs: quality (Tulsi 1999); leadership (Munshi 2004; Powar 2000); and the organisational issues of productivity (Saha 2004), work culture (Negi 2004) and promotion of staff (Gopalan 2001). The influence of politics in the state and federal government has been supported by a number of authors (Gopalan 2001; Negi 2004; Pylee 1999). The need for the Federal and State governments to act on identified improvements have been supported by a number of authors: increased funding (Powar 2001) quality of, and increases in, staffing (Pylee 1999), and the State government to commit to UGC recommendations to create autonomous colleges (Naha 2005). These factors are summarised in Figure 6.1.

Figure 6.1: *Relationship of identified contextual factors to the identification of MLCs*



(*Developed for this study)*

The findings in this study differ from the Indian literature, in regard to *student culture* where students are becoming more demanding as consumers and in the political arena. This is indicative of the specific culture of Kerala where demonstrations and political interventions are present (Negi 2004; Gopalan 2001 and Pylee 1999) which thus impact on the organisational context that HoDs operate within.

The review of the global HES literature identified the factors of: development of the knowledge economy; international competition and globalisation; impact of managerialism; and the issue of accreditation. The findings from this research issue differ from those with only the issues of *accreditation* and *globalisation* being recognised by some respondents. There was little recognition of the development of the knowledge economy in India per se as having an impact on the HEIs in this study, particularly considering the huge growth in knowledge industries in India. The only acknowledgement of this factor may be in regard to the pattern of student culture (discussed above) where several respondents recognised the growing expectations of students for both technology and teaching expertise.

Managerialism in HEIs has been reported as a source of tension in HEIs (Altbach 2002; Chipman 2000; Crebert 2000; Duke 2001; Mok 2003; Srikanthan & Dalrymple 2002) however the findings did not support the issue of managerialism as a factor in the six case organisations. This issue is discussed further in section 6.2.2.3.

Thus, rather than the global challenges identified from the literature, with the exception of student culture the findings of this study suggest a different set of organisational challenges which are suggestive that the international pressures on HEIs have not yet impacted Kerala HEIs. Rather the external challenges and internal challenges (as displayed in figure 6.1) are identified issues facing the organisations and thus contribute to a deeper and more specific understanding of the challenges facing Kerala HEIs and thus the environment in which the HoDs operate.

6.2.2.2 Type of organisational culture

Organisational culture was assessed using the CVF. Cross case analysis found that whilst *Rational Culture* is a common dominant culture for five of the six cases (equally ranked with Developmental for Case A and with Hierarchal Culture being dominant for Case B);

there is a variation across the cases studied[9]. Rational culture as the dominant culture tends to stress direction, goal clarity, productivity and accomplishment (Quinn et al 2003). The strong findings of a Rational Culture supports Pounder's (2002) Hong Kong study of a university where *Rational Goal* focus was seen as the most prevalent culture. It also lends support to Cameron et al's (2006) position about universities in terms of the culture having a high certainty and predictable nature. However the results are not supportive of Gupta and Arogyaswamy (2002) alignment of organisational culture in India with an *Internal Process* (Hierarchal) culture, - i.e. one of documentation, information management, stability and control. Indeed the results of this study are suggestive of a lack of documentation, particularly in regard to position descriptions and other policies and procedures.

It may be that the competing values in HEIs are to do with the bureaucratic and rational focus of the public sector as compared to the academic environment which may favour development of HR and change as part of the academic milieu of student learning and research. In addition the strong selection of the *Mentor* role as well as the *Facilitator* role (and associated MLCs) [see section 6.2.4.1 may be suggestive of the strong emphasis of *relationships* in the Kerala culture. These roles are in opposition to the two role associated with Rational culture – that of *Producer* and *Director,* both also selected for the HoD role. This contention would thus be a fruitful area for future research and is discussed in section 6.8.8. *Group Culture* from the *Human Relations Model* received the lowest overall rating (see Table 5.31). Quinn et al (2003) suggest that organisations that rank highly in this value move towards the development of HR. As is apparent from the findings of this study, HR functions are very poorly developed in all six case organisations, thus also lending support to the finding from the CVF analysis of low *Group* (or *Human Relations*) *culture* in the organisations.

Whilst recognising the dominant role of Rational Culture in the majority of case organisations, the findings from this study indicates that there is no single culture representative in the six cases and this supports the definition of organisations by Quinn as holding contradictory positions within the CVF (Quinn 1988). The findings of

[9] Case A has two dominant cultures; Case C demonstrates two other dominant cultures other than Rational and Case E respondents identified three dominant cultures.

variation of all six cases, across the varying cultures and descriptors (see Table 5.12), is also consistent with the selection of each case representing maximum variation. Whilst recognising that there were some overall dominant cultures for each embedded case, each organisation was described by the respondents as having its own unique set of descriptors across the four cultures.

The contention by Cameron and Quinn (1999) that 80 percent of organisations develop a dominant culture and those that do not (as in this study) are either unclear about culture or have an almost equal emphasis on the four types appears to have some support from these case findings. The findings of this study also support Gupta and Arogyaswamy's (2002) contention that hybrid cultures may be found. Indeed the organisational culture was summed up by one respondent as *managing between the stability of the organisational and administration and the dynamism of an academic environment* (B008). This statement encapsulates two of the competing values existing in the Kerala HEIs, that is, the stability and control of the public sector with the dynamism and flexibility associated with an academic culture.

6.2.2.3 Organisational and managerial effectiveness, and work culture

There appears to be a difference across type of organisations in regard to these three factors. State organisations' respondents rated effectiveness lower than the private and federal case respondents.

Organisational effectiveness

The study's findings on organisational effectiveness in the state HEIs support the findings in the literature. The rigidity of the bureaucratic system and assessment delays (Case A) coincides with As-Saber, Dowling and Liesch's view (1998) of Indian bureaucracy being obstructionist. In Case C respondents identified a lack of academic leadership and planning, and in Case D respondents identified political interference and corruption. These have also been highlighted by Pulparampil (1995) as problems for Kerala HEIs. The poor quality of academic appointments in Case B is also supported (Mahadevan, Naha & Babhu 2005; Pulparampil 1995).

Srivastava (1999) argues that restructuring and reengineering are common processes in Indian academia, however this does not appear to be supported by the findings of this

study. Rather, respondents identified a large number of organisational factors that were seen as obstacles or impediments to the organisational effectiveness or to performing their role effectively. A key issue identified was that of a lack of a professional management system. Managerialism was not seen as a concern however the benefits of managerialism i.e. professional, accountable and transparent practices were indicated as a need for Kerala HEIs by the identified need for improved managerial practices.

An understanding of what actually constitutes organisational effectiveness is not always clear to members of HEIs (Pounder 1999) and it may be that this is the case for respondents in this study. This lack of clarity is supported by Hofstede (2005) who suggests that different individuals in organisations may hold different views about organisational effectiveness. As such, further study and research is indicated in order to understand more fully what determines organisational and management effectiveness in Kerala HEIs (see section 6.8).

Managerial effectiveness

In considering managerial effectiveness, findings from the State HEIs in this study support the extant literature in the following instances: in Case A, lack of disciplinary action and monitoring Pylee (1999), and the need for more accessibility and transparency in management (Wani, Rethman & Masood 2000); in Case B, the need for strong and creative leadership, and in Case C for better management (Faruqui & Qureshi 1999; Negi 2004; Rao & Das 2004; Saha 2004; Srivastava 1999). Turning to Case D, difficulties in co-ordination across functions for the Principal's position supports Gopalan's (2001) findings of ineffective inter and intra departmental co-ordination.

These above findings and other findings from the study - work overload and stress, the need for good communication and clear vision, better planning and the need to build more trust - support the contention of Kurup (2006) that professionalism in management of HEIs is critically needed. Cases E and F considered management to be effective - in Case E citing a good relationship between college management and the principal and experience in managing while in Case F respondents stressed clear vision and dynamism. These two clusters of ratings demonstrate a demarcation in organisation type.

Work culture

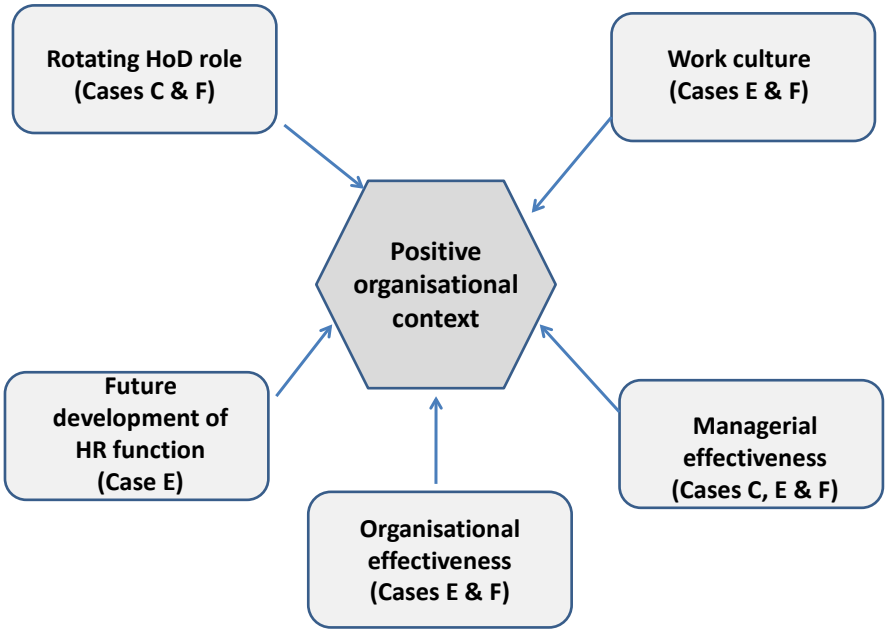
The findings indicated that all of the State HEIs respondents' believe the work culture is not suitable for the requirements of the organisation. This is consistent with studies of Gupta (2004), Joseph (2004), and Pylee (2004). However, respondents from Cases E (a private aided college) and F (a national institution) report a 100 percent, perception of a positive work culture. The findings support the proposition that type of organisation may be a factor in understanding the organisational context (Heffernan & Flood 2000).

The study's results are however inconsistent with Amba-Rao et al's (2000) findings about the difference between the private and public sector in India and Joseph's (2004) view that traditional work ethic of India remains prevalent in the public sector. Whilst Cases A- D seem to support Joseph's (2004) view and Case E indicates a difference based on the fact that it a private aided college, Case F results do not fit either pattern. It can be postulated that this inconsistency may be explained by the changing organisational context of Case F during its transition from a state funded college into a NIT with its increased funding and need for increased competitiveness.

In summary, a number of factors have been raised above which point to a negative organisational context as identified by respondents. However several factors have emerged from respondents in Cases C, E and F which can be considered to contribute to a positive organisational context and these are illustrated below in Figure 6.2. For both organisational and managerial effectiveness and work culture the type of organisation appears to be a factor in the organisational context for this study. This highlights a demarcation between state organisations (A, B and D) and the other cases.

Having discussed the perceptions of effectiveness and work culture, the level of HR sophistication is now discussed**.**

Figure 6.2: *Identified factors in organisational context that differentiate cases*



(Source: Developed for this study using Q12 of the interview protocol (non HoDs) and Q2, 12, 14, 15 & 16 of the HoD interview protocol)

6.2.2.4 Human resources sophistication

A significant factor in the organisational context of the six cases in this study was the absence of any formalised HR department. The results are consistent with Budhwar and Sparrow's (1997) contention that many organisations have underdeveloped HR functions, and with several studies indicating inadequate HR management and or development in Indian HEIs (Munshi 2004; Powar 2001; Rao & Das 2004).

Heffernan and Flood's (2000) study indicated a relationship between the identification and development of MLCs with the level of sophistication of HR function. This study supports such a relationship, in that there was little sophistication of HR and also no identification or development of MLCs in all six cases. The results however are inconsistent with Heffernan and Flood's (2000) findings in regard to size of organisation, as in this study all organisations, both large and medium, were lacking in formalised HR functions. This inconsistency may be because the type of organisation (public sector HEIs) is a more significant factor than size.

Turning to HR factors needed to improve the role of the HoD, six key factors were identified by respondents across all cases. They were: preparation of role, written position description, performance appraisal, remuneration, the need for succession planning and training.

These findings support the literature which indicates that, in Indian HEIs, there is a need for improvements including manpower planning; introduction of induction programmes; performance appraisal systems; and training and development (Faruqui & Qureshi 1999; Pylee 1999; Rao & Das 2004). The lack of remuneration for the HoD role, although not specifically mentioned in the above studies, can be argued to be a factor in Hoppe's (2003) assertion that the motivation to serve in a leadership role at HEIs may diminish without extrinsic rewards being present in the HR system.

The need for manpower planning was raised in the extant literature however the findings did not support this element. Other HR issues identified by respondents that were not common to all six cases were the need to improve recruitment and selection - which is consistent with findings from the literature (Munshi 2004, Rao & Das 2004) - promotion, and workload of the HoD. As well, rotation of the HoD role was not common to all six cases. Although it has the advantage of not keeping a poorly performing manager in place until retirement – as the practice of seniority may- it never the less has no advantage in selecting more competent HoDs to carry out the role. It cannot therefore be considered a positive factor in promoting the uptake of MLCs.

Thus in summary for R I 2, an analysis of organisational context has indicated that some patterns of similarity can be found, particularly amongst the state organisations (Cases A-D). There is similarity across all case in regard to the lack of any developed HR functions. There are, however, no trends suggesting common perspectives within the categories of university versus college, or larger versus smaller size of institution that can be ascertained from the results. Thus the unique organisational context of each embedded case must be considered in any in-depth understanding of the context in which MLCs for HoDs can be developed.

6.2.2.5 Conclusions about R I 2.1: Implications of the organisational context on the development of MLCs

The findings from this study, in the context of public sector HEIs, indicate some similarities and some differences from Heffernan and Flood's (2000) study. As discussed above, a lack of HRM sophistication had a direct relationship with a lack of identification and development of MLCs in the six cases. This is supportive of Heffernan and Flood's (2000) position on this parameter, however different issues dominated the findings for the HEIs under study, rather than those found in their study.

These issues can be broadly identified into two environmental clusters: external (political interference, financial, legislation/ stage government issues and union involvement) and internal (vision/ ability of decision makers; work culture). The external issues identified may well act as an inhibitor to development of MLCs in HoDs, either from a financial imperative or lack of state government emphasis to improve the role of the HoD.

Additionally, the issue of political interference, supported by Pulparampil's (1995) contention of politicisation of the HEIs, remains an organisational contextual factor that may influence the MLCs of HoDs; that is they will need MLCs that can assist them in minimising or handling the political interference in their HoD role (see section 6.2.3.2).
These identified external factors (with the exception of political interference) have not been considered before in the literature and thus demonstrate the contribution of this study to a better understanding of the organisational context in which HoDs need to operate.

Turning to the internal factors, the findings indicated both the vision and ability of decision makers within the HEIs and the work culture were both significant issues in the organisational context. The vision and ability of decision makers, or in other words, the leadership of HEIs, has been well documented in the literature as important to overall performance of HEIs (English 2005; Filan & Seagren 2003; Kekäle 2003). The findings of this study identify a paucity of vision and decision making of HEI leadership for the six case in this study and this finding is supportive of Pulparampil's (1995) comments on Kerala colleges. Hence, this organisational factor might have an impact on the development of any MLCs for HoDs.

Findings indicate that work culture has been identified as an important organisational contextual factor on the identification and development of MLCs. Findings for Cases A-D support Gupta's (2004b) suggestion of poor work culture in Indian universities. A culture of rest and relaxation as suggested by Joseph (2004) as typical of Indian culture was supported by a number of respondents from cases A, B and D. It can be postulated then that work culture, particularly in Cases A-D, may strongly impact on the HoDs themselves wishing to partake of any MLCs development activities if they hold the view that they have security of seniority, and lack of an appraisal system to hold them accountable for the their actions as HoDs. As suggested by a syndicate member in Case A the *mindset is not appropriate; tendency in Kerala, once employed will sit; get automatic promotion (because of seniority) will become lazy and negligent* (A007).

In summary, with issues to do with organisational and managerial effectiveness identified by the majority of respondents across the cases, and clear issues with poor work culture in the state organisations (Cases A-D) as well as little focus or emphasis for the improvement of HR processes, or the existence of HR departments in the six cases, organisations are unlikely to perceive the identification and development of MLCs for HoDs as a significant issue.

6.2.3 Conclusions about R I 3: Identified MLCs for HoDs at Kerala HEIs

Three key areas of data were collected for this research issue, that of perceived future changes in responsibility, current problems facing HoDs and the MLCs the HoD respondents felt were needed to successfully perform their role. The need to identify potential changes to a managerial role as part of the process of understanding the required MLCs has been raised in the literature by a number of authors (Athey & Orth 1999; Cairnes 2000; Woodruffe 1991). Thus, in this exploratory study, the identification of changes in responsibility and the current problems being faced by HoDs may help to better understand the context of the MLCs selected.

6.2.3.1 HoD role: Current problems and changes in responsibility

HoDs were clearly able to identify changes that are influencing their organisations, as well as their own role as HoD. The issue of lack of motivation to perform the role was raised by respondents and supports Hoppe (2003) view that the motivation to serve in

leadership roles in HEIs may be eroded unless extrinsic rewards are present. The *rotation of role* raised an issue in relation to HoDs without the correct skills being selected and this was also raised earlier in relation to the *role of seniority*. Other issues to do with the need for *organisational change* and the need for *different managerial leadership skills* were also noted.

The role of politics, raised under implications of organisational context was seen as directly impacting on the current role of the HoD. This is supportive of Henkel's (2000) view of the HoD having to deal with external demands and crises. Another issue was that of balancing demands as a HoD and this was raised in both Henkel's (2000) and Deem's (2004) studies of HoD roles in HEIs.

The lack of clarity of the HoD role, demonstrated by the absence of any position descriptions, is consistent with Henkel (2000) and Thompson and Harrison (2002) identifying a lack of understanding of the role of the HoD. Thus it would appear that clarity of role, motivation to do the role, increased power and accountability, increased ML skills and ability to balance the role would all assist in the improved functioning of HoDs at Kerala HEIs.

The various roles required of a HoD were determined though the CVM (see section 6.2.4.2).

6.2.3.2 Required competencies for HoDs

Investigations into R I 3 identified the MLCs that the HoD respondents felt were necessary for them to successfully perform their role as a HoD. The results showed some similarities across the cases with 75 percent of MLCs being selected by respondents from two thirds (4/6) or more of cases. The other 25 percent of MLCs were identified in three cases or less. This is suggestive that for HoDs across the various case organisations there is a degree of consensus as to what competencies are required to fulfil the role, though for some HoDs in case organisations there are specific competencies required, which can be postulated to fit into organisation specific competencies (OSCs). These results are thus supportive of a cluster of general managerial leadership competencies (GMLCs) being applicable to HoDs in various types of case organisations in the HES in Kerala.

This finding of both GMLCs and OSCs lends support to the proposed theoretical framework, and is also supported by the literature, that while the organisational context of the particular case organisation is critical to the identification of some MLCs (Berge et al. 2002; Chandramouly 2002; New 1996; Stuart & Lindsay 1997) there is also a case for the presence of generic MLCs (Hayes, Rose-Quirie & Allinson 2000).

Some general observations can be made in regard to the GMLCs identified in this study. Turning to the first cluster of seven MLCs identified through interview, three of the top MLCs listed above (*figurehead, negotiation/influencing* and *administration role)* are consistent with three attributes of Indian leaders identified by Chhokar (2007). He commented on the need for leaders to be a role model and this was identified by respondents as part of the *figurehead* competency. Negotiation, in this study included the skill of diplomacy and this was identified by Chhokar (2007) as well as being administratively competent. The competency, *developing people* although not specifically identified in Chokkar's (2007) study of Indian managers, are supported by the broader GLOBE leadership attributes. The competency *developing people* can be associated with the leadership attributes of being encouraging, positive, a confidence builder and team builder. As well the competency *problem solving* was also identified (Dorfman, Hanges & Brodbeck 2004).

In comparing the GMLCs identified in this study to the top skills identified by Thompson and Harrison (2002) in their single case study in the UK, a number of MLCs identified in this study appear to relate to the competency identified by them of *managing people.* The findings of *interpersonal skills* and *developing people* above could be seen as associated with the competency of managing people. A number of these MLCs are comparable to attributes identified through the GLOBE project as a universal leadership attribute and these are *communication; planning, co-ordination and objective setting* corresponding to 'foresight' and 'plans ahead'*; motivating others* which is akin to 'motivational' and 'motive arouser'; *integrity/ethics* corresponding to 'trustworthy', 'just' and 'honest' (Dorfman, Hanges & Brodbeck 2004). Integrity was also raised by Chokkar (2007).

Innovation, although not specifically mentioned in either of the studies cited above, is seen as key to the leadership role (Aldag & Kuzuhara 2005; Yukl 2005). Managing

resources was identified as one of the key competencies in Thompson and Harrison's (2002) study. This study also identified the need to control costs and enhance value which could correspond to the identified competency of *monitoring and control.* Although not specifically mentioned *time management* can be seen as part of the competency of 'manag(ing) yourself' including 'personal emotions and stress' both identified in Thompson and Harrison's study. Lastly, Pularumpi (2000) identified the need to *develop and communicate a vision* as a key requirement for HoDs in Kerala HEIs and this is also supported by Chokkar's (2007) study of Indian managers.

In consideration of the difficult bureaucratic, political and corrupt descriptions levied on many of the case organisations by respondents, the high ranking for the MLCs of interpersonal skills, negotiation/ influencing skills, and problem solving can be postulated to arise from the need to operate in a highly bureaucratic and politicised environment. As described by respondents, the HoD in Kerala HEIs has to rely much more on relationships and influence in order to meet department objectives, and to negotiate within a political environment. The importance of relationships and also a poor work culture may provide the context for the rating of importance of certain MLCs - *interpersonal skills*, and *motivating others* in the top 10 competencies identified at interview.

In considering the transformational/transactional argument (presented in section 3.2.1.1), it would appear that both transformational leadership dimensions (*interpersonal skills*, *negotiation/influencing*, *developing people*) (Judge & Piccolo 2004) and transactional leadership dimensions (*problem solving*) (Boehnke et al. 2003) as well as a management role (*administration*) have been identified by HoDs in all six cases (i.e. the first cluster).. This mixture is also seen in the second and third clusters of MLCs identified by HoDs. Hence the findings do support the contention (and the position taken by this study) that both transactional and transformational leadership dimensions do have relevance (Judge & Piccolo 2004) in the ML role of the HoDs.

Turning now to the second group of MLCs not identified more broadly across cases, it is interesting to note that three of the MLCs are found in the universal list of attributes from the GLOBE study; that of *teamwork*, *decision making* and *quality improvement and best*

practice akin to an 'excellence orientation' (Dorfman, Hanges & Brodbeck 2004). The MLCs *stakeholder focus* and *teamwork* appear to have a more specific application in the State universities. The issue of changes in student culture was raised by respondents from these cases and thus can be considered part of their organisational context. The competency *liaison and networking* had a spread of results from respondents of a university, the college affiliated to that university (Case D) and the deemed university. Though the *academic role* was recognised in the top competencies, it was not ranked as highly. The variety of responses in this competency grouping was more focused on the *research role* and need to be seen as an *eminent scholar*. This identified competency can be postulated to be a job specific competency (JSC).

Having concluded from the qualitative data that there are eighteen MLCs which share a high degree of consensus across the majority of cases in this study the next section considers the quantitative information of the CVM (part 2 of the *KUACAT).*

6.2.4 Conclusions about R I 4: How do the required MLCs for HoDs at Kerala HEIs differ from those identified in the literature?

The focus of R I 4 is on the argument put forward in the literature as to the generic nature of competencies across both organisations (Hayes, Rose-Quirie & Allinson 2000; Stuart, Thompson & Harrison 1995) and cultures (Budhwar & Khatri 2001; Budhwar & Sparrow 2002; Hofstede 1993). The results from this study suggest a general agreement to 23 MLCs as *important* or higher to the interviewed HoDs in all six cases (with one competency, *managing across functions,* identified as *somewhat important*). The cross case findings indicate that there are eleven competencies that have agreement across all six cases, with a rating of important or higher whilst the all case rating indicates the competency *understanding self and others* to be *highly important.* The findings are supportive of the 24 MLCs contained within the CVM, which have been validated by previous studies (Faerman, Quinn & Thompson 1987; Quinn et al. 2003), and also, validated in this study, by comparison to 19 other authors (section 3.5.2.4). In addition, the selection of these MLCs is supportive of a number of other studies (Chhokar 2007; Dorfman, Hanges & Brodbeck 2004; Henkel 2000; Pulparampil 2000; Thompson & Harrison 2002).

Some of the MLCs in the second and third clusters supported competencies or leadership attributes drawn from other studies (Chhokar 2007; Dorfman, Hanges & Brodbeck 2004; Henkel 2000; Pulparampil 2000; Thompson & Harrison 2002). The MLCs and the relevant studies are summarised in Table 6.2.

Table 6.2: *Selected MLCs from the CVM via cluster with relevant supporting study*

Cluster	MLC	Supporting Studies
1	Understanding self and others.	Thompson and Harrison (2002)
	Communicating effectively	Dorfman, Hanges and Brodbeck (2004).
	Developing employees	Henkel (2000)
	Managing change	Henkel (2000)
	Monitoring individual performance	Chhokar (2007) and Pulparampil (2000)
	Developing and communicating a vision	Chhokar (2007) and Pulparampil (2000)
	Setting goals and objectives	Dorfman, Hanges and Brodbeck (2004).
	Fostering a productive work environment	Chhokar (2007)
	Managing change	Henkel (2000)
	Thinking creatively	Dorfman, Hanges and Brodbeck (2004)
2	Designing and organising	Thompson and Harrison (2002) and Pulparampil (2000)
	Managing time and stress	Thompson and Harrison (2002)
	Managing collective performance and processes	Thompson and Harrison (2002)
	Use participative decision making	Chhokar (2007) and Dorfman, Hanges and Brodbeck (2004)
3	Negotiating agreement and commitment	Chhokar (2007) and Dorfman, Hanges and Brodbeck (2004)
	Building teams	Chhokar (2007) and Dorfman, Hanges and Brodbeck (2004)

[Source: Developed for this study using findings from part 2 of the KUACAT, descriptions of the MLCs (Appendix K) and the authors cited above

These results support the contention that there is a significant number of MLCs that are applicable across different organisational and cultural contexts.

The results of the HoD FG were broadly supportive of the ranking of importance of these MLCs. However a comparison of results between the HoDs and the Superiors indicates a difference in priority and is suggestive of a lack of agreement as to the relative importance of these MLCs to the HoD role. There is thus a need for clarity to be reached between the Head of each organisation and the relevant HoD group as to the priority order before any

decisions can be made as to ways to develop these MLCs and, ultimately, then use them as part of a performance management process for the HoD.

Having discussed the selection of MLCs from the CVM, these are contrasted to the identified competencies through interview (discussed in 6.2.3.2.) in the next section.

6.2.4.1 Comparison of selected CVM MLCs with those identified from interview

Triangulation of this data occurred by collecting information on the identified MLCs through both the interview process and the CVM as part of the *KUACAT*. It is thus interesting to contrast the top MLCs identified by both processes to look for commonality. The findings are sufficiently suggestive that there seems to be a strong relationship between 83 percent (20 out of 24) of the MLCs identified by Quinn et al (2003) to that identified by respondents[10]. This relationship between the data supports the position in the literature that many MLCs have generic relevance across both organisations and cultures (Garavan & McGuire 2001; Stuart & Lindsay 1997). This is, however, only part of the argument as these authors above, and others such as New (1996), also postulate the need for specific organisational competencies. The findings from this comparison of the data collected for R I 3 and R I 4 support this position. Analysis across data from R I 3 and R I 4 (see Table 5.26) indicate that HoDs suggested four competencies that are not included in the CVM. These competencies were (C12) *figurehead* (C1) *academic role*; (C10) *integrity/ ethics* and (C22) *stakeholder focus*.

The *academic role* does not have a corresponding competency in the Quinn et al (2003) model and as it is industry specific can be considered as a technical role or job specific competency (JSC) as per New's (1996) classification. Based on the conceptual framework developed for this model, the other three competencies would fall into organisation specific competencies (OSCs) required by HoDs who work in the case organisations.

The implications of these findings for this research issue are twofold. Firstly, the findings lend support to the use of the CVM in determining MLCs needed in HoDs, and to the proposition that the CVM is a useful tool for assessing competencies (Faerman, Quinn &

[10] As given spontaneously to the interviewer or in response to the questions probing for the identification of MLCs in the interview protocol

Thompson 1987; Quinn et al. 2003). This will be discussed in the relevant section on implication for theory below. Secondly, the selection of the vast majority of these MLCs by respondents in a majority of cases[11] lends strong support to the argument that MLCs have both generic and specific components, with the generic component being much stronger. Thus these results lend further support to the model of New (1996) in his argument for a differentiation of GMLCs and OSCs and also the work of Stuart and Lindsay (1997) in which they stress the organisational culture and environment as impacting on the development of MLCs.

6.2.4.2 Competencies and their associated roles

As all the MLCs in the CVM were selected, then all corresponding roles do have a place in the HoD function, however there were six roles which were most prevalent. The two roles that were least favoured were Broker and Co-ordinator. The six roles are presented in Table 6.3.

Table 6.3: *The dominant roles identified for the HoD*

Role	Description of what Managers are expected to do
Mentor	Be engaged in the development of people through a caring empathetic orientation; be helpful, considerate, approachable, open and fair; listen and support legitimate requests, convey appreciation and give both compliments and credit.
Director	Clarify expectations through processes, such as planning and goal setting; be a decisive initiator who defines problems, selects alternatives, establishes objectives, define roles, generate rules and gives instructions.
Innovator	Facilitate adaptation and change; pay attention to the changing environment and identify important trends; conceptualise and project manage necessary changes; tolerates uncertainty and risk.
Facilitator	Foster collective effort, build cohesion and teamwork, and manage interpersonal conflict; be process orientated; intervene in interpersonal disputes; use conflict reduction techniques; develop cohesion and morale; encourage input and participation and facilitate group problem solving.
Monitor	Be aware of what is happening in the department; determine if rules are being complied with; monitor departmental output; review and respond to routine information; and author reports and other documents.
Producer	Be task orientated and work focused; display high interest, motivation, energy and personal drive; accept responsibility and be highly productive.

[Developed for this study from part 2 of the KUACAT and Quinn et al (2003)]

This is suggestive that the HoD role, in Kerala HEIs, is a complex and conflicting one (Quinn et al 2003) requiring the ability to adjust flexibly across a number of roles depending on the organisational context. This study has thus been able to assist in a

[11] With the exception noted in relation to the competency l) *managing across functions*

greater clarity of the HoD role, not only through identifying problems and changes in responsibility (discussed in section 6.2.3.1), but by describing the activities that the HoDs anticipate are, or should be, part of the HoD role at Kerala HEIs.

In order to better understand the relationship between organisational culture and the HoD role it is helpful to contrast these roles to the relevant organisational culture suggested by the CVM. The Director and Producer roles are consistent with the prevalent organisational culture across the cases (with the exception of Case B) that of *Rational culture*. The Innovator role is also consistent with the *Development* culture described by respondents. The Monitor role is related to the Hierarchal (Internal process) culture. The Mentor and Facilitator roles correspond with *Group* (Human relations) culture, rated by respondents across all cases as the least dominant organisational culture. Thus there is an apparent disconnect between the type of MLCs selected and the associated roles with the description of some of the organisational cultures present in the six cases. This apparent paradox is discussed in further detail in section 6.4.3.1.

6.2.5 Conclusions about R I 5: Development of MLCs for HoDs at Kerala HEIs

There is a body of evidence in the literature to suggest Managerial Leadership Development (MLD) impacts positively on organisational change (Hunt & Baruch 2003; Muijs et al. 2006; Terrion 2006). The need for ML training was supported by the majority of respondents and all respondents selected at least one ML activity to assist in the development of MLCs. This expressed need for ML training is consistent with the literature, which identified the management development needs of academic leaders (Filan & Seagren 2003; Kekäle 2003; Raines & Alberg 2003). Consistent with two of the findings in regard to organisational context (section 6.2.2), the findings for this research issue were the need for government direction and improvement of HR processes. Additionally, the need for the implementation of a quality system in the organisations was also identified (Tulsi 1999).

Turning to types of MLD activities, five development activities presented were selected by over 50 percent of the respondents. The activities of *classroom lectures; personal development programs* and *films and videos* predominantly reflected those proposed by

Dhorranintra (1999). The choice of *training programs* supported Thomson et al's (2001) findings and the selection of *mentoring* as a MLD activity also supported findings by Thomson et al (2001) and Sandler (2002). Thus, the findings from this research issue support the need for ML training (Newby 2000) and indicate the preferred methods of how this ML training could be delivered.

Having now discussed and considered the implication of each of the five research issues, the overall conclusions about the research problem are presented in the next section.

6.3 Conclusions about the research problem

The discussions and conclusions for the five research issues, discussed above, offer a solid framework for formulating conclusions about the research problem, which explores the following question:

What are the required MLCs for HoDs, within the cultural and organisational context of Kerala HEIs, and how can these competencies be developed?

In response to the research problem, the respondents in the six HEIs have been able to identify ***competencies that are required for HoDs to carry out their managerial leadership functions.*** Whilst these MLCs do vary from organisation to organisation, there are some considerable similarities in 83 percent of the MLCs irrespective of size or type of organisation.

The results of this study thus lend support to the argument addressed in the literature that managerial roles, including those of HoDs in the Kerala HES, do require a unique balance of MLCs. These identified MLCs share a strong degree of commonality (83%) with GMLCs as considered in R I 4. In particular when these results are considered in the context of the general versus specific competencies debate, they broadly support the figures suggested by Stuart, Thompson and Harrison (1995) that approximately 70 percent of MLCs are generic with the other 30 percent organisation specific. The findings from this study also support a cluster of OSCs. It would not be unreasonable to suggest that these arise from the interplay of cultural, political (Budhwar & Khatri 2001) and organisational interactions within the six cases.

Turning to the organisational context the findings suggest some differences in types of organisations particularly between state, private and/or federal institutions. The

relationship between identified MLCs and the competing cultures was not strong (this is discussed further in section 6.4.3.1). Further, no relationship between the particular MLCs selected by HoDs and organisation type was noted in this study. Rather, whilst the results clearly indicates a split between General Managerial Leadership Competencies (GMLCs) and Organisation Specific Competencies (OSCs), the OSCs were exactly that, specific to the *unique nature* of each organisation, rather than to a type or grouping of organisation thus supporting McKenna's (2004) position.

Thus these findings have produced both literal replication and theoretical replication in this qualitative study (Hastings 2004; Kerssens-van Drongelen 2001; Perry 1998; Yin 2003). Literal replication occurred as a degree of similarity was found for 83 percent of MLCs across the majority of cases. Theoretical replication occurred in that no MLCs were found that were linked to type of organisation. This occurred for the reason that each case was selected as different to one another to ensure maximum variation (i.e. each case has a unique organisation specific context).

The interplay of interactions noted in sections 6.22 and 6.23 can, by and large, account for the ***cultural and organisational context*** of the Kerala HEIs and thus the HoDs working within these organisations. In this study the relevant environmental challenges have been identified by a consideration of R I 1 and R I 2. Turning firstly to the cultural context, this study identified differences in Hofstede's (1980) cultural dimensions of all India to that of Kerala, raising the issue of the need to consider the specific cultural context rather than use broader national dimensions. Respondents identified aspects of Kerala culture which may impact on the ability to identify and develop MLCs for HoDs.

The second aspect considered was that of organisational context. The literature review in Chapters two and three identified a complex interplay of contextual factors that have to do with changes to HES worldwide and which would have an impact on the more specific context of India and the state of Kerala. The findings did not support these and the findings for R I 2 are more consistent with the literature on the inefficiencies of the Indian HES.

The findings, identifying the relevant organisational challenges (see section 5.9.1) faced by the six cases representing some of Kerala HEIs, are of concern. Firstly, these findings

indicate that, the Kerala environment is indicative of that found in the broader India HES (i.e. the identified challenges in the literature), and that these challenges also impact on the Kerala HEIs in this study. Secondly, given the importance of this sector, globally and to Kerala, there is greater pressure on the ability of HoDs to perform effectively in their organisation. In also considering that there is no identified system nor political or organisational will to assist HoDs in developing their MLCs, it is not unreasonable to suggest that Kerala HEIs will continue to be in deep crisis with declining standards and performance as suggested in the literature (Munshi 2004; Pylee 1999). This is in common with other states of India, and it is envisaged that this will continue despite the Government of Kerala's wish for a global world class higher education (Krishnakumar 2006a, 2006b).

Turning to the specific organisational parameters of the six case organisations, the results indicated further support to the view that HEIs are not functioning at an appropriate level. Although the organisational and managerial effectiveness findings varied across the cases, comments made by respondents, especially in Cases A-D, were in alignment with Negi's (2004) contention that there is either a lack or less than optimal mechanisms to improve both efficiency and effectiveness of the management of HEIs.

As suggested in the literature review, Indian HEIs have weak or inadequate personal management policies, systems and practices (Gopalan 2001; Munshi 2004; Rao & Das 2004) and their lack of effectiveness can in part be associated with inadequate HRD (Powar 2001). The findings from this study support this position of poor HR sophistication. This is a significant contextual factor affecting the formalised use of MLCs within the case organisations. Additionally work culture remains a key issue of cultural context of the state cases.

Findings from R I 1 and 2 have addressed the issue that a consideration of the cultural and organisational context in which managers are operating is essential to the process of identifying the appropriate MLCs for HoDs in carrying out their job function (Garavan & McGuire 2001; Hayes, Rose-Quirie & Allinson 2000; Stuart & Lindsay 1997) and some tentative conclusions have been reached about this context on the selection of MLCs. The findings from these research issues has provided a rich set of descriptions of the

cultural context, organisational challenges and organisational context in which the HoD operates within Kerala HEIs and thus provides a valuable understanding for both practitioners and policy makers alike. This will be further discussed in section 6.5.

Having considered ***the required MLCs*** in R I 3 and 4 and also the ***cultural and organisational context*** described above in R I 1 and 2, the last section of the research question refers to the ***development of MLCs,*** which will now be addressed.

Findings from R I 5 identified a number of actions needed for development of MLCs which support Spendloves's (2007) contention that little or no organisational strategy for either identifying or developing leadership skills. Despite this environmental context, HoDs themselves identified their own need for MLD in all cases. From the findings of RI5 it can thus be postulated that HoDs are interested in improving their capacity to perform their job function. However, given concerns expressed by respondents regarding the lack of formal HR processes and managerial effectiveness it can be postulated that MLD for HoDs would not be a priority for case organisations, or as one staff member from the FGF explained *what does the vice chancellor care about HoD management skills?* (FGF). This theme echoes that of Yukl (2005) who suggests that subordinate development is often set aside due to managers being focused on more immediate problems and crises and these immediate problems and crises in the Kerala HEIs are: lack of funding, corruption, political interference and poor work culture.

In summing up, and by addressing the research problem and specifically *the required MLCs of HoDs and their development,* it is possible to make some conclusions. These conclusions, which are broadly based and exploratory, given the previously discussed limitations of this research, are:

(a) The identified MLC set of HoDs, across the six cases, has both generic and organisational and job specific components; with the former making up 83 percent of the set;

(b) Eighteen MLCs required for the HoD role were identified by respondents from two thirds or more of the embedded cases reflecting both leadership and management competencies;

(c) Organisational specific competencies were also identified by respondents and these appear to be unique to the context of the particular case organisation rather than categorised by the type or size of organisation;
(d) There is a high degree of relevance of MLCs (from the CVM) identified in the literature to those identified by HoDs as important in their work role.
(e) The HoD role and MLCs required are not clear and Superiors and followers as well as HoDs themselves may have differing views
(f) The organisational context of the HEIs in this study involves an interplay of cultural, societal, political and governmental factors;
(g) Broad cultural dimension descriptions applied to all of India do not necessarily accurately describe Kerala culture;
(h) Work culture in state controlled HEIs is of an inappropriate nature to achieve the goals of those organisations;
(i) The organisational issues of the case organisations requires significant improvement if the HEIs are to perform effectively to meet current and future challenges;
j) All case organisations have unsophisticated HR processes which do not support an environment for identification and development of MLCs;
(k) There are identified barriers to the development of MLCs in HoDs; and
(l) HoDs do recognise the need for MLD and can identify ways in which they wish to have MLCs developed.

In addressing the research issues and problem some exploratory conclusions from the findings have been drawn. The next section considers the implications of these findings for theory.

6.4 Implications for theory

This research has not only made a significant contribution to knowledge in its immediate discipline and field, MLCs of HoDs in Kerala HEIs, as outlined in the previous section, but also has implications for a better understanding of the HES, and MLCs. This study has also contributed to the disciplines of international management and cultural research. Each of these contributions to theory in these disciplines will be detailed below.

6.4.1 Cultural research: Kerala, India

In this section, the study's contribution to the extant literature on the use of cultural dimensions, understanding values and the application of competencies to a non western environment are considered.

6.4.1.1 Understanding culture by using cultural dimensions

Researchers such as Hofstede's (2001a), Trompenaars (1997) and House and Aditya (1997) use of cultural dimensions has provided a useful way of understanding differences across cultures. Whilst cultural dimensions may be useful in providing a high level of generality for a country description of culture, critics have argued that they are not discrete enough to explore the heterogeneity of some countries (Kanter & Corn 1994; Triandis 2004). This study supports the need for a consideration of sub cultures (Cesare & Sadri 2003; Laroche 2005; Craig 2006; Blodgett, Bakir & Rose 2008).

This study, which in part, sought to understand Kerala culture, found that there were differences in respondents' views of Kerala culture from that found by Hofstede (1980) for all of India. Whilst these conclusions are exploratory and need further research they do contribute to the need for a better understanding of culture through qualitative (Collett 1998) and not just quantitative results of cultural dimensions.

6.4.1.2 Considering the competency issue in India

Whilst recognising the development of competency approaches in Indian based multi national companies (Chandramouly 2002; Sanghi 2005) there has been little focus in the research literature to the area of MLCs, especially with Indian HEIs. This study has provided some tentative conclusions about the identification and development of MLCs within HEIs in Kerala and has thus contributed to a greater understanding of MLCs needed for Indian managers, albeit in the public HES.

6.4.2 MLCs in HoDs at Kerala HEIs

The literature has provided numerous studies on MLCs for managers in the private sector of western organisations (Bartram 2005; Quinn et al. 2003; Rausch, Sherman & Washbush 2002; Sandwith 1993). However, it has only been recently with the need for greater accountability in the HES, and the impact of managerialism, that the role of ML within HEIs has been considered by researchers. Many of these studies have not focussed on the role of the HoD. Authors, such as Erwee et al (2002) and Thompson and Harrison (2002) have looked at these positions, and the competencies needed, but have reported on single organisations based in the west, (Australia, and Northern Ireland respectively). This study extends the current level of knowledge by considering a multiple case study in a non western environment. Also, it contributes to the role of MLCs identified from the private sector having validity in the HES and also the debate in relation to generic versus organisational specific competencies.

6.4.2.1 The need for contextual understanding for competency identification

Critics of the competency approach argue that one of the shortcomings is to ignore the culture and structure of the organisation in which it exists (Garavan & McGuire 2001; Hayes, Rose-Quirie & Allinson 2000; McKenna 2002; Stuart & Lindsay 1997). This study has been designed to better understand the context of both the cultural and organisational environment impacting on the MLCs of HoDs. The findings have provided a rich description of these particular factors and have also identified the unique interplay of Kerala culture and organisational issues of HEIs. An understanding of these factors helps in understanding the challenges of the HoD role and thus MLCs needed in order to perform competently in this environment. The findings of this study support the notion that a contextual understanding is essential in the process of MLC identification (Cheng, Dainty & Moore 2003; Garavan & McGuire 2001; Hayes, Rose-Quirie & Allinson 2000; Stuart & Lindsay 1997).

6.4.2.2 Does the HES require specific MLCs that differ from the private sector?

The literature suggests two positions in relation to this issue, one position is that educational leadership differs from that of other management whilst the other position is that leadership is similar (Middlehurst, Goreham & Woodfield 2009). This study took the latter position and thus included the CVM representing a generic competency set applicable to the private sector (although as can be seen in section 3.6.1.4, a number of educational studies were also found to be compatible). The finding of a number of OSCs is suggestive that it was not due to the fact that they were in the HES per se, with the exception of *academic role*, but due rather to the specific nature of their organisation. This is discussed further in the next section.

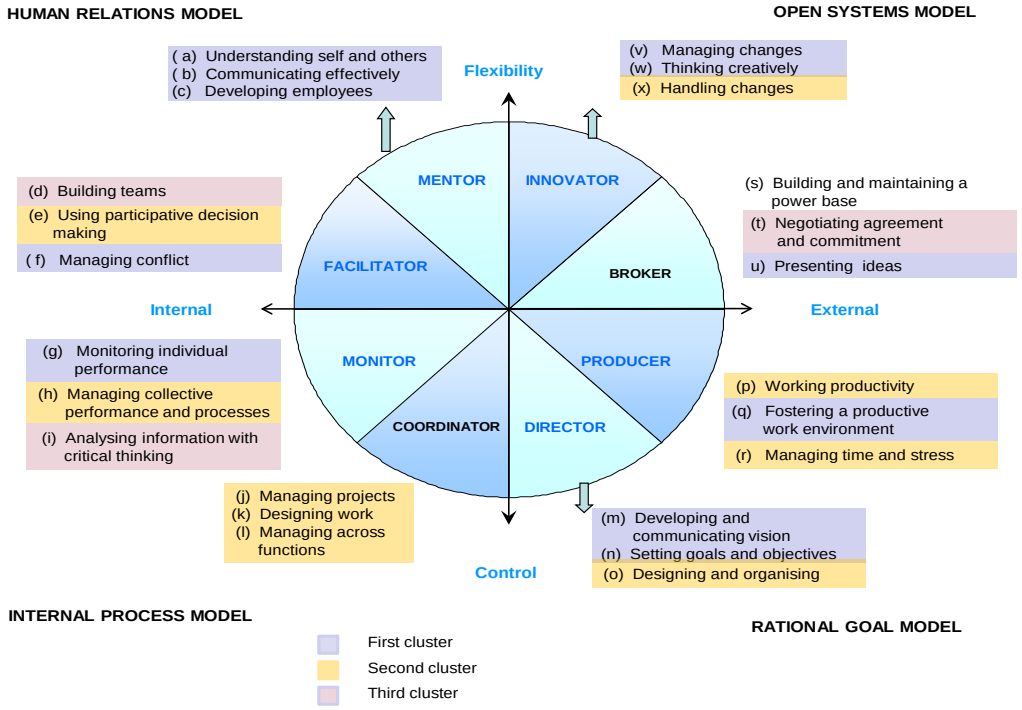
6.4.2.3 Generic versus organisation specific competencies debate

This study has contributed further evidence to the debate (Cheng, Dainty & Moore 2003; Garavan & McGuire 2001; McKenna 2002; Stuart & Lindsay 1997) and has extended research into a non-western environment. The findings of this study, while reaffirming the importance of OSCs such as proposed by New's (1996) framework, also indicate a significant degree of similarity with other GMLCs - as suggested by the relevance of MLCs contained within the CVM. These findings contribute to contradicting the concept that a *universal list of management competencies* is less likely to apply within a specific organisation (Hayes, Rose-Quirie & Allinson 2000).

6.4.3. The use of the CVM in identifying competencies

For this study, the CVM (Quinn et al. 2003) has provided a well researched model. The findings of this study where respondents found 80 percent of the CVM MLCs were relevant to their role as HoD. These MLCs and associated roles across cases are displayed in Figure 6.3 below, which has been modified from Figure 3.5, to indicate the common findings from this study.

Figure 6.3: *Required MLCs of HoDs and roles from the CVM*



NB identified roles highlighted in blue.
[Developed for this study from Quinn et al (2003 p16)]

6.4.3.1 Relationship between identified competencies, roles and organisational culture

The CVM suggests that a tension exists between the competing values within an organisation which is also reflected within managers (Quinn 1988). The findings from this study support this position. While a cursory glance at the model would suggest that the dominant culture identified by respondents for the case organisation is reflective of similar roles and thus MLCs, the results present a much more complex picture. This complexity does not however contradict the CVM, rather the CVM can be seen as a way of understanding the complex nature of the organisation, and the competing values or tensions (Quinn & Spreitzer 1997). The CVM has been useful in determining both MLCs and roles that HoDs feel are important to carrying out their work function effectively. The 24 MLCs as described in the CVM have been shown to have a strong relationship to those identified by HoDs. The relationship postulated by the CVM to the roles, MLCs and related cultures and models have indicated a clear tension, or competing values, between the dominant cultures in the organisation and HoDs perception of roles

and MLCs. This finding thus assists in a better understanding of the organisations in this case study.

6.4.4 Revised theoretical framework linking theory

The findings from the research issues and the conclusions for the research contribute to the building of theory by two types of theoretical enhancements: (a) modifications to the conceptual framework for the identification and development of MLCs in Kerala HEIs as developed in Chapter three and (b) support to the proposition of the need for GMLCs and OSCs suggested by New's (1996) framework. In making a contribution to theory building, the original conceptual framework developed for this research (Chapter 3) is revised and presented. This contribution meets the stated need that further work is required to validate competency identification and its value addition to Indian organisations (Chandramouly 2002). The revised theoretical framework, as presented in Figure 6.4 below, illustrates the specific relationships of context to the identified GMLCs and OSCs needed by HoDs to be developed and thus to impact positively on organisational performance.

In summary, the step wise development of the conceptual framework, incorporating findings from this study, has found a more detailed and specific interplay of factors in the contextual impact on MLCs of HoDs; specifically the focus in relation to cultural factors that may dictate the type of MLCs necessary to succeed in the environment. Further, the study has supported the notion of the need for both GMLCs and OSCs as suggested by New's (1996) model and also the study lends further support to the notion of a weighting between these competencies proposed by Stuart, Thompson and Harrison (1995). Additionally, the findings support the need for a level of HR sophistication (Heffernan & Flood 2000) in order for the development of MLCs to occur.

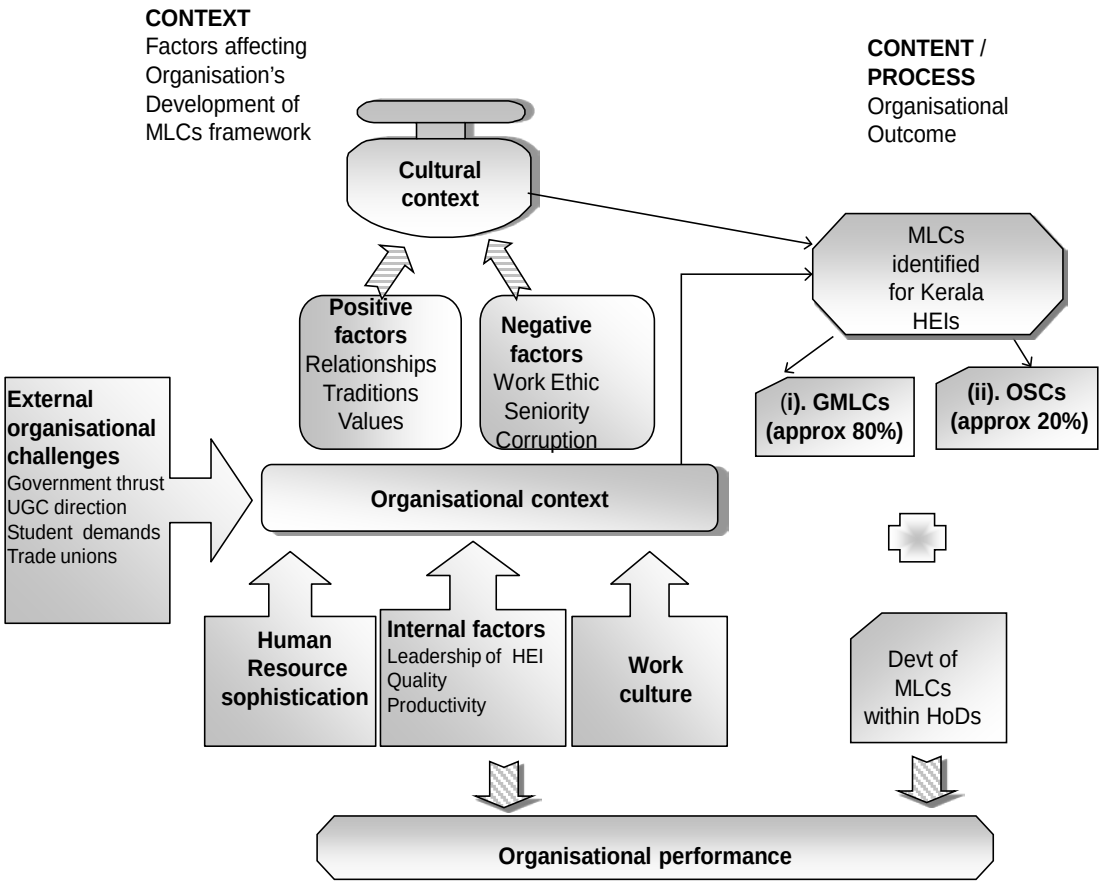
Finally this study has been able to define specific internal and external factors as part of the cultural and organisational context, consistent with Cheng, Dainty and Moore's (2003) contention which affect the identification and development of MLCs in HEIs.

The extant literature largely provides a theoretical framework for the context impacting on competencies within the west and mostly within the private sector. The model developed in this study goes a step further and provides a more integrative and specific

analysis within the HES sector in the state of Kerala, India, thus expanding the knowledge in this context to a non western environment.

Having now considered the implications for theory indicated by the results of this study, the implications for practice are delineated in the next section

Figure 6.4: *Revised theoretical framework*



(Source: Developed for this study June 2005 – revised December 2009)

6.5 Implications for practice

The primary intention of this study is to produce results that are relevant and practical for HEIs in Kerala. The model and propositions developed in this study can potentially be of use to practitioners such as governments and HEIs trying to meet the anticipated challenges and changes in the HE field in the coming decades. The implications for use of the study's outcomes are described in the following sections.

6.5.1 Government funding and direction

Whilst the literature acknowledges the extent of difficulties faced by the Indian HEIs, this study has shown the specific issues, identified by HoDs, that impact negatively on their ability to perform effectively. Firstly this study has highlighted a number of public policy issues - particularly lack of funding, political will, and the issue of corruption - which need to be acted on if Kerala HEIs are to live up to the expectation of the Kerala Minister for Education to make Kerala a world class destination for HE.

Secondly, there is a need to manage HR issues within HEIs in a more systematic and productive manner by introducing HR systems which are conducive to transparent and systematic management of personnel. This means committing resources to the development of discrete HR departments which can tackle many of the issues identified in this study (role definition and levels of autonomy and accountability of HoDs; position descriptions; performance appraisal system; remuneration; orientation; training, selection and promotion). This will assist in both an increased accountability and HRD, and will thus go someway to meeting two of the findings of past commissions into the Indian HES (Powar 2001). Finally, the State and Federal governments as well as the UGC need to consider the positive impact that MLD for HoDs would have on the organisational performance in the case organisations and other HEIs in the state of Kerala.

6.5.2 Implications for HEIs

The implications of the findings from this study for Kerala HEIs are fivefold. Firstly, there is a clear need for attention to the role of the HoD in Kerala HEIs. Vice Chancellors, Principals and Directors of Kerala HEIs need to consider, and act upon, the findings of this study and in particular the lack of clarity of the role of the HoD and lack of position description for this role. The findings of this study, identifying problems with the role and changes in responsibility as well as the description of the six identified roles (from the CVM) can assist organisations in formulating a position description for the HoD. In addition there needs to be a consideration of motivation of HoDs - including remuneration. This study has indicated some differences in the perception of the importance of different MLCs by the HoDs and their respective Superior. There is a clear need for these two parties to undertake further discussion and reach agreement.

Secondly, it is not enough for candidates to have seniority (i.e. years of experience at professor level) in order to take on the role of HoD; they must also possess knowledge, skills, and values that can be demonstrated as MLCs. If the case organisations, or the relevant government body, do not take steps to select competent HoDs than it can be postulated that overall organisational and managerial effectiveness will remain the same. Hence these HEIs will not have the required ML at HoD level to make a difference to the way they operate now nor to meet the identified challenges for HEIs in the future.

Thirdly, MLCs identified in this study need to form the basis for development of competency statements that can be used for selection and development of HoDs. As suggested by Heffernan and Flood's (2000) study, it is difficult to envision that development of these MLCs into selection, appraisal and development tools can occur without a change to the HR function within each of the case organisations. Again for the six cases in this study, this is more than an internal change by the addition of formalised HR functions; it also requires a change in the external environment to the way both the State and Federal governments view the need to support and manage HR within the HEIs. Lastly, without the support of both a developed internal HR function and external funding agency the development of MLCs in HoDs may not occur in the near future.

Despite this situation, there is never the less an opportunity for senior leadership within the case organisations to be able to act on these findings to improve the skills of current HoDs, whether they are incumbent via seniority or by rotation. There are a number of recommendations that HoDs can act upon which call for little additional financial resources, which would be helpful for them to continue to develop their skill set and which would enhance their job performance. These recommendations are:

1) Form a lobby group, across HEIs, to represent the needs of HoDs for MLD,
2) Approach the Institute of Management in Government (IMG) to identify appropriate ML training for HoDs,
3) Ask Schools of Management to undertake to develop MLD within the HEIs
4) Within each department, establish a more formal coaching and or mentoring relationship so that current HoDs can actively assist in the development of the next HoD, and
5) Use the MLCs raised by this study as the basis for MLD.

Finally the four State cases need to consider the broader contextual issue of a poor work culture. The presence of a poor work culture puts additional stress on HoDs as well as other leadership positions to achieve their desired organisational outcomes and to provide the improvements in quality identified by the State government.

Having discussed in this section the implications for practice and detailed suggested strategies that can be applied from the findings of this study, the next section presents a number of the limitations identified though the research process.

6.6 Limitations

The qualitative study's challenging area of research - understanding the complex interactions of organisational context on the identification and development of MLCs - in a developing country and foreign to the researchers nationality and language, has resulted in a number of limitations to the research. Thus, the inductive theory building case study methodology has been supplemented by quantitative data to assist in triangulating the information. Other strategies designed to strengthen the robustness of the research were identified. Nevertheless several issues in regard to the case study methodology which may have a distorting influence on the findings were identified and are described below.

6.6.1 Design of the research

The first limitation of this study is the design of the research, which is exploratory and applies a qualitative case-study methodology. In addition, the case sample size is limited to six HEIs in the state of Kerala, India, and, as such, the findings are not generalisable beyond the context of this study. The number of HoDs was limited to 36 (6 from each case) and this number may have been insufficient to give a comprehensive view of this group of managers. At the same time the number did need to be limited in the interests of parsimony and logistics. However, the case study approach did provide a rich and varied description of organisational and management factors that is of interest to policy makers and practitioners in the HES of Kerala, and particularly, to the organisations in the study.

6.6.2 Researcher skills

One of the limitations of qualitative research is its dependency on the researcher's skills and interpretations within the field and this was particularly so in the context of this study

being conducted in a country foreign to the Researcher. For example, some of the respondents' descriptions may be of insufficient depth because of inadequate interview probing on the part of the Researcher, or due to inherent communication difficulties between the interviewer and interviewee. For this reason, a series of checks and balances were designed to minimise the problem and these included rephrasing and checking of understanding at interview, collection of multiple sources of evidence, and triangulation through the *KUACAT*, as well as Superiors and focus group inputs.

6.6.3 Judgement of the Researcher

A further limitation is the matter of the use of judgement of the Researcher, as raised by Thomas and Sireno (1980), in interpreting different terms which define each of the MLCs. This judgment occurred when contrasting MLCs identified in the literature within the CVM (section 3.5.2.4), or MLCs described by the respondents at interview and contrasted to the CVM in the analysis (section 5.10.2). The identification of a set of definitions for the CVM MLCs, as part of the methodology (Appendix K), created parameters which assisted the Researcher in assessing whether to include or exclude the relevant MLCs identified by the respondents.

6.6.4 Quality of data

The respondents appeared to be satisfied about the confidential nature of the discussions and were thus open and frank with the Researcher in regard to their organisations, the management there of and issues facing them. Nevertheless, the need to 'save face' and or present the organisation in a more beneficial light to a visitor to their country may have impacted on some of the ratings by respondents in terms of stressing a more positive perception of reality.

A second issue affecting the quality of data may have been the respondents' lack of familiarity with some of the concepts introduced to them, and/or terminology used in the *KUACAT* which may have resulted in a less than full understanding of the parameters being rated. Where any hesitation or confusion was observed the Researcher responded to this by providing clarification, however misunderstandings may not always have been discernable to the Researcher. Respondents may have been reluctant to ask for clarification which may have impacted on the results. As there was a considerable

amount of data to get through in the available interview time, errors could have been made by the respondents in hurrying to complete the analytical tool.

Finally, the lack of documentation produced by the case organisations (such as HR policies and procedures, HoDs position descriptions) and the lack of access to some information may have also impacted the quality of data, given the benefit which such documentation could have brought to the study as one of the multiple sources of evidence.

In summary, this exploratory research inherently contained some limitations as described above, however several procedures were implemented to reduce the number of potential errors and to increase the validity and reliability of the results. Whilst the limitations are acknowledged they do not detract from the significance of the findings of this study.

6.7 Implications for methodology

An innovative approach to research can create a learning environment which can assist in a better understanding of research design and methodology. The following discussion considers some of the lessons gained from the experience of conducting this study and the implications, of these lessons, for methodology.

6.7.1 Case Study methodology in management studies

Criticism has been levied on research of management issues that relies only on quantitative data (e.g. Bryman et al 1988; Luthans et al 1985 Morgan and Smircich 1980; Strong 1984 cited in Yukl (2005). In this study, the in-depth detail collected from the multiple participants (HoDs and Superiors in all 6 cases and focus group members from 2 cases) and other sources of evidence resulted in a comprehensive case study of the context of each HEI and the resultant impact on the identification and development of MLCs. The accuracy of each case study was supported by a clear chain of evidence and further enhanced by data and theory triangulation, thus resulting in a greater understanding of the complex context in which HoDs in Kerala HEIs operate than would be possible from a quantitative analysis alone.

6.7.2 Interviews as a data collection technique

Interviews have been used widely in case study research to gain relevant data (Cooper & Schindler 2006; Eisenhardt 1989; Rowley 2002; Yin 2003), however they can be problematic. Despite a pilot study of the interview process, it became apparent during the course of the data collection period that the number of questions in the protocol was too great for two reasons: a) the amount of time allocated by respondents for the interview and b) the amount of time taken by some verbal respondents in answering questions. During the course of the data collection period it also became evident that the number of questions against each research question could be reduced because at times the data was found to be the same for each response - for example the lack of position descriptions or HR department was the same for all respondents in each case.

Another reason was the need to allow time for respondents to express themselves freely and also through examples which, at times, due to the Researcher's lack of familiarity with the specific issues often required background explanation. This meant there was a tradeoff between gathering the *rich and thick description* and with the range and quantity of data; hence some of the questions were not covered in all interviews. Future research in this area should allow for fewer questions in the research protocol.

Lastly, although the interview questions (Qu. 1, 2 , 4 and 9 - Appendix D) were designed to freely illicit respondent's thoughts on MLCs, the fact that many respondents were unable to raise MLCs that they subsequently selected as *absolutely critical* or *very important* in part 2 of the *KUACAT* raises the issue of the comprehensiveness of collecting data in this manner. Despite respondents reading a brief on the research as well as a description in the consent form, it was felt that some respondents gave little time or thought to this series of questions and thus not all potential MLCs that respondents felt were important were uncovered at interview. Thus the use of part 2 of the *KUACAT* was important in being able to strengthen and triangulate the data collected from interview.

6.7.3 Generalisation through multiple cases

Whilst single case studies can provide a generalisation to broader theory (Miles & Huberman 1994; Yin 2003) a multiple case approach provides the opportunity to better

understand the similarities and differences and hence provide a more robust and richer description of the phenomenon under study (Cooper & Schindler 2006 ; Patton, M. 1990; Rowley 2002; Yin 2003). A cross case analysis of the six organisations was able to find some similar MLCs suggesting a similar need of HoDs for some common GMLCs. As well, identifying contrasting MLCs across embedded cases helped to demonstrate the existence of OSCs. Without this cross case analysis these contributions would not have been elucidated.

Having discussed the implications for methodology, the implications for further research originating from this study are presented in the next section.

6.8 Implications for further research

Throughout this exploratory research, many potential future research issues have surfaced and each of these are discussed below.

6.8.1 In-depth analysis of Kerala culture

One of the areas identified from this research is the need for a more in-depth analysis of Kerala culture versus that in the extant literature of all India. Further research would assist in greater knowledge of the cultural factors in Kerala which may impact on organisational as well as ML practices and MLCs. In addition, Kerala has a unique development model and a better understanding of Kerala culture may provide further light to the success of this model.

6.8.2 Understanding values in Kerala

In this study six values were articulated by respondents as being relevant to Kerala however each value was only raised by one respondent. Further research needs to be conducted to establish the value set held by HoDs in Kerala HEIs.

6.8.3 Determining a measure for organisational and managerial effectiveness in Kerala HEIs

Organisational and management effectiveness findings identified varied results in the ratings. This may be because of different perceptions of what constitutes effectiveness. Further research is indicated to better understand, firstly what determines organisational and management effectiveness in Kerala HEIs, secondly, to develop a measurement of

these factors and, thirdly, to research more intensively the factors that are impacting positively and negatively on managerial and organisational effectiveness.

6.8.4 Clearer understanding of the role of HoDs

Thompson and Harrison (2002) found in their study, that the role of the HoD was poorly defined and the findings of this study support this. While the findings of this study have contributed to an understanding of the HoD role further research is still warranted.

6.8.5 Quantitative survey of HEIs in Kerala

The methodology used in this research was qualitative and, specifically, a case study approach. As planned, it has contributed rich detail and analytic generalisation for theory-building purposes. A quantitative survey of required MLCs for HoDs in Kerala HEIs and their development would add statistical generalisation. Statistical generalisation would contribute to testing of the findings from this analytical generalisation and thus provide further robustness to the findings of this study.

6.8.6 HEIs in other states of India

Kerala's division of state, federal and deemed universities as well as CPEs are similar to other states across India. Using this modified model and conducting both case study research and a quantitative research could assist State governments to identify the MLCs of HoDs to perform more effectively in the various HEIs in other states of India.

6.8.7 MLCs for Indian managers in the private sector

Whilst this study has considered MLCs for HoDs, (middle managers) in public sector organisations, further research could be conducted in comparative studies to see how these MLCs may be similar or different in private sector contexts; whether this is in the growing private HES or more broadly in the private sector in general.

6.8.8 HEIs in other non western countries

This study is also useful to researchers in the area of international management. Research in the HES in other countries could assist to provide further support for the issue of generic versus organisation specific competencies.

6.8.9 Validation of the CVM

The use of Quinn et al's (2003) CVM in better understanding the roles and MLCs of HoDs has been supported in the Kerala HES. Further studies using this model may help to strengthen the applicability of this model in the HES in other countries.

6.9 Conclusion

HEIs worldwide are looking at the need to become more effective (Brunetto 2001; Meyer 2002; Mok 1999, 2003; Nauriyal & Bhalla 2004; Thomas & Harris 2000) and this is particularly true of emerging economies such as India which provides one of the highest trained work forces in the world (Gopalan 2004). The Kerala government wishes to make Kerala a number one higher education destination (Mahadevan 2005a) but the Kerala HES has an absence of centres of excellence (Oommen 1999) despite the state spending more money in higher education than all the other states of India combined (Ramachandran 2004). Further, the Kerala HES is described as having a number of deficiencies, especially quality of academics and research as well as poor infrastructure (State Planning Board 2008), all contributing to falling standards of higher education (Mahadevan 2006).

Ways to improve the performance of HEIs has been suggested by a number of authors (Gopalan 2001; Negi 2004; Pylee 2004; Sarup 2004; Tulsi 1999; Wani, Rethman & Masood 2000). One factor amongst these is the use of modern management trends (Faruqui & Qureshi 1999; Negi 2004; Rao & Das 2004; Saha 2004) and this includes the need for competent managers and leaders at all levels. This factor led to the need to identify and develop MLCs in HoDs within Kerala HEIs. The results of this study indicate that in order to be effective, HoDs perceive that they need to possess a unique balance of MLCs that are commonly associated with managers in general, as well specific competencies which would assist them to deal with the cultural and organisation milieus in which they operate.

This exploratory and descriptive research has presented a number of contributions for the future development of HoDs in Kerala HEIs from both practical and theoretical points of view. From a theory-building perspective, the research model developed from the

findings proposes that both cultural and organisational factors need to be understood in order to identify the appropriate MLCs for HoDs. The literature suggests that both cultural and organisational contexts need to be considered in considering the MLCs of HoDs. This research has supported this view and highlights the significance of particular factors present in Kerala culture: strength of relationships and the negative impact of work ethic, emphasis on seniority and corruption.

Additionally, this study has been able to define specific organisational contexts of these case organisations: external (government thrust; UGC direction and student demands); internal (lack of leadership, quality and emphasis on productivity); a poor work culture; and the lack of a sophisticated HR function. Such analysis and discussion within this study provides a rich context in order to better understand the selection of MLCs for HoDs in varying HEIs in the Kerala HES.

In addition, this study has contributed to the debate about the generic and specific nature of MLCs and provides support to the position that the majority of MLCs from the CVM, which were identified and selected as part of the model from a developed western environment have applicability within HEIs in the Indian state of Kerala. Indeed this study has contributed strong support (with results of 83/17 percent respectively) to the percentage weighting debate of GMLCs and OSCs as suggested by Stuart, Thompson and Harrison (1995) of a 70/30 percent split respectively. The results of this study also suggest that the smaller percentage of OSCs will be determined by the cultural and organisation context in which the HEIs operate.

Overall this descriptive study has not only provided a rich and deep understanding of cultural and organisational factors impacting on the identification and development of MLCs for HoDs in the six case organisations, but has also made a number of contributions to the literature. The summary of the contributions of this study are presented in Table 6.4.

Table 6.4: *Summary of contributions of this study*

Culture of Kerala

Coverage in the Literature: To some extent. Hofstede's (1980) study indicated all India culture of medium collectivism, medium masculinity, high power distance, and low uncertainty avoidance but this did not look at the specific culture of Kerala.

Contribution from this Research: Based on Hofstede dimensions, Kerala culture varies from that of all India in regard to two dimensions: a feministic orientation, both high and low power distance (leaning to low). Four cultural factors were identified in Kerala: importance of traditions, relationships, values, and poor work culture.

Organisational issues facing Kerala HEIs

Coverage in the Literature: To a small extent but not Kerala specific.

Contribution from this Research: Kerala specific results provided – need for federal and state direction; need to improve quality and leadership; need to address changes in student culture; and improve identified organisational issues – HR, productivity, and service and facility levels.

Organisational culture of Kerala HEIs

Coverage in the Literature: Not covered.

Contribution from this Research: Understanding of competing cultures present in embedded cases, and across case organisations.

Organisational and managerial effectiveness in Kerala HEIs

Coverage in the Literature: To a small extent but not Kerala specific.

Contribution from this Research: Regionally specific results provided: for ***organisations***: poor decision making; corruption and illegal practices; political interference; poor quality of management and leadership; and rigid bureaucracy and for ***management:*** lack of disciplinary action, and monitoring and the need for more accessibility and transparency in management; need for strong and creative leadership and for better management; difficulties in co-ordination across functions; work overload and stress, need for good communication, clear vision and planning; and the need to build more trust.

Work culture in Kerala HEIs

Coverage in the Literature: To a small extent but not Kerala specific.

Contribution from this Research: Negative work culture identified in Kerala state HEIs and a positive work culture identified for a private aided college and federal deemed university.

HRM sophistication at Kerala HEIs

Coverage in the Literature: To a small extent but not Kerala specific.

Contribution from this Research: Kerala specific results provided – no HR department and low level of sophistication with six common problems identified across all cases.

Identification of MLCs for HoDs in Kerala HEIs

Coverage in the Literature: Not covered.

Contribution from this Research: Identification of MLCs per case and across cases indicating the top MLCs needed by HoDs.

Identification of development needs for HoDs in Kerala HEIs

Coverage in the Literature: Not covered.

Contribution from this Research: HoDs do wish to have MLD; identification of obstacles to this occurring and the type of development HoDs preferred.

Identification of MLCs for HoDs in Kerala HEIs – Conceptual framework

Coverage in the Literature: Various researchers considered the issue New (1996); Heffernan and Flood (2000); Stuart and Lindsay (1997); and Quinn et al (2003), but they have not been integrated).

Contribution from this Research: Varying models integrated in particular way to describe an educational sector and a new geographic region.

Development of an analytical tool (*KUACAT)* that can be used in replications of this study

Coverage in the Literature: Individual frameworks available however not used in this way or for this geographic region or sector.

Contribution from this Research: The *KUACAT* was developed using relevant frameworks from the literature. It is a tool designed to gather quantitative data on respondents, organisational context and identification of MLCs and MLD in Kerala HEIs. It can also be used within other states of India or elsewhere as a means to better understand HEIs and MLCs.

(Developed for this study)

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Appendix A: Kerala Higher Education Institutions (HEIs)

The HES in Kerala consists of universities and colleges. Colleges, in India, are affiliated to a university and the latter award degrees to their students. Colleges and Universities work together for a standardised curriculum. Administratively, Universities make their own decisions and report to a Syndicate and Senate while colleges are accountable to the Director of Collegiate Education, Department of Higher Education, State of Kerala. Generally, universities do not offer Bachelor programmes, though the distinction is blurred in practice. Typically colleges will have a smaller number of student enrolments and departments though some larger colleges in Kerala have a similar student enrolment and number of departments to the smaller universities.

1. Universities

There are no national government universities located in Kerala. There are seven state universities in Kerala. Table A1 provides details of the universities whilst Table A2 breaks down the universities into general and specialist categories.

Table A1**:** *State Universities of Kerala*

University of Calicut	State University (Funded and accredited by UGC)
Cochin University of Science and Technology (CUSAT)	State University (Moulded on a federal University and distinctly different from State universities. Funded and accredited by UGC)
Kannur University	State University (Not funded by UGC)
University of Kerala	State University (Funded and accredited by UGC)
Kerala Agricultural University	State University (Not funded by UGC)
Mahatma Gandhi University	State University (Funded and accredited by UGC)
Sree Sankaracharya University of Sanskrit	State University (Funded by UGC)

[Source: http://www.ugc.ac.in viewed 19th June 2006; Ummerkutty, Stella et al (2004) and http:// www. cusat.ac.in]

Table A2: *State Universities of Kerala: Generalist and Specialist*

Generalist Universities	**Specialist Universities**
University of Kerala University of Calicut Kunnur University Mahatma Gandhi University	Cochin University of Science and Technology Kerala Agricultural University Sree Sankaracharya University of Sanskrit

(Source: http://www.kerala.gov.in/education/high.htm)

2. Deemed Universities (DU)

Section 3 of the UGC Act provides that an institution of HE, other than a university, which is doing work of very high standard in a specific area, can be declared as an institution deemed to be a

university. DU's enjoy the academic status and privileges of a university and are able to strengthen activities in the field of their specialisation, rather than becoming a multi-faculty university of the general type (www.ugc.ac.in) -see. There are two deemed universities in Kerala listed in Table A.3.

Table A3: *Deemed Universities of Kerala*

Kerala Kalamandalam, Vallathol, Cheruthuruthy, Trissur Kerala Type: Deemed University
National Institute of Technology, Calicut Kerala - 673 601 Type: Deemed University (Not funded by UGC)

(Source: http://www.ugc.ac.in viewed 19th June 2006)

3. Colleges

There were 290 Arts and Sciences colleges in Kerala as of 2008 of which 38 are government colleges, 148 are private aided colleges and 104 are private colleges (Government of Kerala: the official Web Portal 2008). Of these, 132 have been accredited by the UGC. Affiliated colleges come into 3 categories:

- Government
- Aided, and
- Private.

Colleges as Independent Bodies

The UGC has developed two schemes to strengthen colleges and provide for their transition to autonomous bodies. Colleges can be granted the status of autonomous colleges but this must be ratified by the state government. There are currently no autonomous colleges in Kerala (www.ugc.ac.in). University College and Mar Ivanois College have been granted autonomous college status but this has yet to be approved by the Kerala government. Six colleges have been nominated for the category of *College with the Potential for Excellence* (CPE) and these are included in Table A4.

Table A4: *CPE Kerala*

University	**Affiliated College**
Kerala University, Trivandrum	• University College, Trivandrum • Mar Ivanois College, Trivandrum
Calicut University, Calicut	• Farook College, Farook
MG University, Kottayam	• CMS College Kottayam • St Berchaman College, Changanacherry • Sacred Heart College, Thevera

[Source: UGC (n.d.)

Appendix B: Key informants for the study

This study used four key informants to assist in an understanding of the case organisations under study. Two were members from the Association of Indian Universities, New Delhi, and two were from the University of Kerala, Trivandrum -which was also the site of the pilot study. Details of the key informants can be found in Table B1.

Table B1: *Key Informants for this study*

Name	**Title**	**Institution**
Dr R.D Anand	Director of Research	Association of Indian Universities, New Delhi
Ms Z.S Shafi	Assistant Director of Research	Association of Indian Universities, New Delhi
Dr J.Rajan	Head of Department Institute of Management Kerala	University of Kerala, Trivandrum
Mr Prins	Public Relations Manager	University of Kerala, Trivandrum

(Developed for this study)

Appendix C: Case study research protocol

This case study research protocol provides a standardised agenda and list of actions taken in the data collection process for the six organisations. Yin (2003) recommends that case study research protocols have four sections; an overview of the case research study project; field procedures; case study questions; and a guide for the case study report. These are all included in the case study protocol established for this research. Table C1 outlines these steps and references the documents which are included in the following pages.

***Table C1**: Steps and Actions in the Research's Case Study Protocol*

Step	Action	Reference
1	Letter to case organisation advising of purpose of study and asking for consent	C1
2	Letter of consent from case organisations	C2
3	Contact details of case organisations and contact people	C3
4	Orientation to research project: Information for respondents	C4 and C4a
5	Consent form for each participant interview and focus groups	C5
6	Interview protocol including structured questionnaire	C6: Refer Appendix D
7	Analytical Tool (*KUACAT*) developed for this study	C7: Refer Appendix F
8	Interview log	C8
9	Identification and checklist of documents to be reviewed	C9
10	Case study database established for documentation of evidence	C10
11	Checklist of field research items	C11
12	Letter inviting participants to attend focus group	C12
13	Individual case study report outline	C13
14	Thank you letter and copy of case analysis to Vice Chancellor/ Principal/ Director on completion of final site visit and after single case analysis of results	C14

[Adapted for this study from Yin (2003)]

C1: Letter to case organisations: example

Dear,

Re: Conducting interviews as part of doctoral research

My name is Cheryl Crosthwaite and I am an Australian doctoral student with the University of Southern Queensland, Australian Graduate School of Business, currently living in Trivandrum. My research field is Leadership and Management Competencies. I wish to focus my research on the Heads of Departments of six Kerala higher Educational institutions including M G University.

My research would involve initially, face to face interviews (of no longer than two hour's duration) of selected Heads of academic departments. At a later date, these department heads and others would also be invited to take part in a focus group to further specify and refine the identified competencies. I would need to interview six Department heads from your university, as well as yourself. The interviews and data collection phase of my research will not be underway until later in 2005, however I need your consent at this time for the purpose of obtaining Ethics Clearance for my university.

My studies, I believe would contribute to current studies and published papers in regard to the needed changes within universities as well as, in part addressing the thrust of the Eighth five year plan for higher education- *excellence in higher education; making higher education relevant in the context of changing socio economic scenarios and in the strengthening of management systems in universities.* Thus this study would have both a direct benefit for MG University in better understanding the required competencies of senior staff, and also for all higher educational institutes in Kerala as they consider how to address some the pressing issues facing them.
I am writing to you to request written consent from you for me to conduct interviews and focus groups with some of the university's Heads of Departments. I would appreciate your reply if possible by the end of this week.

Yours Sincerely,

Cheryl Crosthwaite,
B. App. Sc, MBA

C2 Letter of consent from case organisations: example

C3 Contact details of case organisations and contact people

CASE	Name	Address	Contact
A	University of Kerala	Thiruvananthapuram 695034 Ph 3306422	Dr J Rajan
B	Mahatma Ghandi University	Priyadarshini Hills, Kottayam 686 560 Kerala Ph 0481 2735001	Dr Sree Ranganathan
C	Cochin University of Science and Technology	Cochin 682 022 Fax No. +91-484-577595	Dr Wilson
D	University College	Thiruvananthapuram - 695 001, Kerala, India. Telephone: 91- 471- 47 5830	Mr Gopalkrishnin
E	Mar Ivanois College	Bethany Hills, Nalanchira, Thiruvananthapuram. Telephone: 91- 471- 2531053	Rev. Dr Samuel Kathukallil
F	National Institute of Technology Calicut	NIT Campus P.O., Calicut - 673 601 Ph. 0495 2286101, Fax. 0495 2287250	Dr Reddy

(Developed for this study)

C4 Orientation to research project: Information to respondents

Title: Developing Leadership and Management Competencies of HoDs at Kerala, (India) Higher Educational Institutions.

Brief Description of Study

This study is designed to consider the factors that may impact on the development of leadership and management competencies for Heads of Departments within Kerala universities and colleges. Western management thinking dominates the literature and practice globally but cross cultural studies indicate that these concepts cannot be adopted without due consideration for cultural and organisational factors. Within India, the higher education institutions (HEIs) are coming under increased scrutiny and are faced with challenges with financing, meeting objectives, quality and accreditation and marketing of its educational capability on a worldwide basis. With the second largest tertiary education system in the world and one of the "youngest" nations in the world with an estimated population increase of 20 million each year, it is critical that HEIs consider the competencies required of their managers to lead their organisations in meeting this challenge.

Research question:

> *What are the required managerial leadership competencies for HoDs, within the cultural and organisational context of Kerala HEIs, and how can these competencies be developed?*

Benefits of the study

The study will benefit participants by specifically identifying through interviews and group processes, a list of competencies that may be used by the individual for development.

The organisation may use the results of the study to consider its practise of a number of human resource management functions including recruitment and selection; performance appraisal; promotion and training and development.

Definition of the term *Competencies*

Competencies are integrated sets of manager behaviours and attributes which can be directed towards successful goal achievement within competence domains to agreed work standards.

C4a Letter of introduction from USQ

Prof Ronel Erwee
Director
USQ Australian Graduate School of Business
Faculty of Business
Telephone: 07 4631 1173
Facsimile: 07 4631 1259
Email: Erwee@usq.edu.au
Website: www.usq.edu.au/agsb

20 Sept 2004

To Whom it May Concern

This is to certify that the person whose name is mentioned below is currently enrolled in the University of Southern Queensland's Doctor of Business Administration (DBA) program by flexible mode.

First name, Surname : Cheryl Crosthwaite

Student Number	0031222468
Currently enrolled	Doctor of Business Administration - Research and Dissertation University of Southern Queensland
Dissertation Theme	Management and leadership competencies

We would appreciate it if you could assist our DBA student with her research in your institution. .

Professor Ronel Erwee
(Director)

C5 Consent form for participants
C5a Individual interviews

Doctoral Research Project: Leadership and Management Competencies in Kerala Higher Educational Institutions (HEIs)

Sir or Madam,

You are being asked to participate in a study investigating Leadership and Management Competencies. The Researcher is interested in considering issues to do with identifying the necessary leadership and management competencies required in Heads of Departments at Kerala HEIs. As a Head of Department your views on these issues are vital to a complete understanding of the area. It is hoped that the results of the study will provide a useful framework for planning and professional development as the HEIs work to meet future challenges.

If you agree to participate, you will be involved in two activities. The first is a confidential one to one interview with the Researcher, Ms Cheryl Crosthwaite Following this interview, the information obtained from all participants will be analysed and synthesised. This information will then be used as the basis for a focus group discussion within your university/college. The interview would take a maximum of two hours and the focus group would take up a morning or afternoon of your time.

All information held by the Researcher will be kept confidential. Your response record will be coded and no information that returns to the university/college will identify you as the source. You will be asked to sign this form below, a form to say you have participated in either the interview, focus group or both and also a copy of the notes taken at interview to verify their correctness. None of this signed information will be available to any person in Kerala. This information will be kept by the Researcher and only available to the doctoral examiner upon request.

There is little identifiable risk for this study as the interviews and focus groups will take place within your normal work environment. You will not incur any costs as a result of involvement in this study. Upon completion of the study both yourself, as a participant, and the university will have access to a summary of the study's findings.

Your participation is voluntary. If at any time during the study you wish to withdraw your participation, you are free to do so.

If you have any questions prior to your participation or at any time throughout the study, please do not hesitate to contact Ms Crosthwaite.

Contact information:
Ms Cheryl Crosthwaite, ph 9895448773 or cheryl_crosthwaite@sancharnet.in
Dr Ronel Erwee, Supervisor +61 7 46311173 or erwee@usq.edu.au
Dr Ben Swanepoel, Supervisor +61 7 4631 2948 or swanepeol@usq.edu.au
Ms C Bartlett, Post graduate and Ethics Officer, bartletc@usq.edu.au

AUTHORISATION: I have read the above and understand the nature of the study. I understand that by agreeing to participate in this study I have not waived any legal or human right and that I may contact the Supervisor (Guide) or Researcher at any time (Dr Ronel Erwee and Cheryl Crosthwaite Doctoral Researcher University of Southern Queensland, Australia) and I agree to participate in the study. I understand that I may refuse to participate or withdraw from the study at any time. I also understand that if I have any concerns about my treatment during the study, I can contact Ms C Bartlett, Post graduate and Ethics Officer.

Participant's signature:_____ **Date:**_____
Name: _____
Researchers Signature _____ **Date:** _____

C5b Focus groups

Doctoral Research Project: Leadership and Management Competencies in Kerala Higher Educational Institutes

Sir or Madam,

You are being asked to participate in a study investigating Leadership and Management Competencies. The Researcher is interested in considering issues to do with identifying the necessary leadership and management competencies required in Heads of Departments at Kerala Universities/ Colleges. Your views on these issues are vital to a complete understanding of the area. It is hoped that the results of the study will provide a useful framework for planning and professional development as the Universities and Colleges work to meet future challenges.

By signing this form you are agreeing to take part in a discussion (focus) group with the Researcher, Ms Cheryl Crosthwaite. The discussion group will focus on gaining your views on the data already provided by Heads of Departments through interview.

All information held by the Researcher will be kept confidential. This information will be kept by the Researcher and only available to the doctoral examiner upon request.

There is little identifiable risk for this study as the interviews will take place within your normal work environment. You will not incur any costs as a result of involvement in this study. Upon completion of the study both yourself, as a participant, and the university/college will have access to a summary of the study's findings.

Your participation is voluntary. If at any time during the study you wish to withdraw your participation, you are free to do so.

If you have any questions prior to your participation or at any time throughout the study, please do not hesitate to contact Ms Crosthwaite.

Contact information:
Ms Cheryl Crosthwaite, ph 9895448773 or cheryl_crosthwaite@sancharnet.in
Dr Ronel Erwee, Supervisor +61 7 46311173 or erwee@usq.edu.au
Dr Ben Swanepoel, Supervisor +61 7 4631 2948 or swanepeol@usq.edu.au
Ms C Bartlett, Post graduate and Ethics Officer, bartletc@usq.edu.au

AUTHORISATION: I have read the above and understand the nature of the study. I understand that by agreeing to participate in this study I have not waived any legal or human right and that I may contact the Supervisor (Guide) or Researcher at any time (Dr Ronel Erwee and Cheryl Crosthwaite Doctoral Researcher University of Southern Queensland, Australia) and I agree to participate in the study. I understand that I may refuse to participate or withdraw from the study at any time. I also understand that if I have any concerns about my treatment during the study, I can contact Ms C Bartlett, Post graduate and Ethics Officer.

Participant's signature:_____ **Date:**_____
Name: _____
Researchers Signature _____**Date:** _____

C6 Interview questionnaire Refer Appendix D

C7 KUACAT -Analytical tool developed for this study Refer Appendix F

C8 Interview Log Template

Name	University/ College	Department	Title	Signature

C9: Checklist for document collection

Document	Case A	Case B	Case C	Case D	Case E	Case F
Position (job) description						
Organisation charts						
Statutes						
Reference diary						
Promotional literature						
Press releases						
Accreditation reports						
Other						

C10: Case study data base established for documentation of evidence

Hard Copy Procedure

Original Interview protocol notes, completed KUACAT, consent form and interview log photocopied twice. Original located in filing cabinet (locked). One copy kept at residence; other copy kept in spouse's office (locked).

Soft Copy Procedure

After each day of interviewing, written notes are transcribed onto an Excel spreadsheet:

Interview Protocol - Interview response table file

KUACAT- KUACAT data file.

Additional comments or recollections were added at the time or points expanded from notes.

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C11 Checklist of field research items

Item and Number required	Case A	Case B	Case C	Case D	Case E	Case F
Display book Orientation information Description of competencies (1)						
USQ Student card (1)						
Interview protocol (10)						
KUACAT (10)						
Consent form (10)						
Interview log (2)						
Folder with note paper and large envelopes #						
Small gifts (10)						

(# If *KUACAT* needed to be returned separately)

C12 Letter inviting participants to attend focus group

Dear Sir / Madam,

I am an Australian doctoral student currently living in Trivandrum and researching the ***Leadership and Management Competencies of Heads of Departments of Kerala Universities and Colleges***. This research will benefit all higher educational institutions in Kerala as they work to meet the challenges ahead.

I have completed my interviews with a sample of Heads of Departments and would very much appreciate it if you could participate in a discussion (focus) group to review my findings to date and offer up your opinion. In this way you can help with the findings from this research.

The group will be run on:

Friday 24th of November

Venue: The Institute of Management University of Kerala
Room (will be signed)

Time: 2.00-3.30pm

The discussion should last approximately 90 minutes and refreshments will be served.

I thank you in advance for giving up your time to assist me in my research efforts.

If you require transport to the venue, or have any other queries, please do not hesitate to contact me on ph 9895448773

Yours Sincerely,

Cheryl Crosthwaite
Research Scholar,
University of Southern Queensland
Australia

C13 Individual case study report outline

1 Background
1.1 Case organisation selection
1.2 Courses offered

2. Sources of Evidence
2.1 Participant selection
2.2 Participant experience
2.3 Other evidence available

3 Organisation
3.1 Mission
3.2 Organisational structure
3.3 Management structure
3.4 Academic Departments
3.5 Affiliating Colleges (if appropriate)
3.6 Accreditation
3.7 Key challenges
3.8 Effectiveness
3.9 Human Resource Management

4.0 Heads of Departments
4.1 HoD role
4.2 Identified competencies
4.3 Identified actions for development of competencies

List of Sources of Evidence

C14 Thankyou letter to Vice Chancellor/ Principal/Director on completion of final site visit and after single case analysis of results: example

Dear Sir/ Madam,

Re Doctoral Research: ***Leadership and Management Competencies of Heads of Departments of Kerala Universities and Colleges***

It has been some time since I last visited your organisation in [insert date] 2006, in order to interview Heads of Departments in fulfilment of my data collection for my research. I now have great pleasure in submitting to you, as promised a copy of the case results for your organisation.

Thankyou again for allowing me access to your university/college [delete one] and especially to all the staff involved in the interviews.

I hope you find the results interesting and that they give you some direction in developing a competency set for the Heads of Departments in your institution so [insert name of organisation] so that they are more equipped to handle the challenges facing the university/ college [delete one] in the upcoming years.

Please don't hesitate to contact me should you require any clarification on this report or if I can assist you in any way.

Yours Sincerely,

Cheryl Crosthwaite
Research Scholar,
University of Southern Queensland
Australia

Appendix D: Interview protocol

Interview Guide: Semi Structured Interviews

FIRSTLY complete the following form Part 1: Interviewee Profile

RI 3 What are the MLCs required by HoDs?

HoD Role

1. Tell me about your management and leadership role?
   Allow some time for interviewee to talk without prompting about leadership and management at university; or the college

2. What is it that leads to a person becoming a HoD here? *Probe: How did it happen that you became a HoD?*

3. How were you prepared for the role? *Probe: Training/Development/Mentors?*

4. What skills are needed to be a good HoD around here?

5. Do you anticipate shifts in responsibilities of HoDs? If so, describe?
   Probe: taking on other work functions; span of control of selected work units being increased; new responsibilities or objectives that will require completely new technical skills?

Anticipated Challenges in HoD role

6. What are the major challenges that will have to be faced by this university/college?

7. What will need to change in terms of the role of the HoD at this university/college?

8 Why?

Identifying Competencies

Guidelines: Set the scene for the following questions: *MLCs have been in existence for over a decade in the west and many public institutions including universities are developing these. The movement is spreading globally. In India, this trend has yet to be felt within universities/colleges.*

9. Ideally, if it was about making this a better university/college in order to face the challenges ahead - what do you see as the required MLCs for being or becoming a good HoD around here?

10. What competencies are currently missing?

NOW complete the following form: Hand out Part 2: Identification of MLCs

RI 2. What is the organisational context of Kerala's HEIs

11. Do you have a written position (job) description?

Yes **No**

Probe to allow to take a copy of it?

Probe question: On a scale of 1 very poor to 5 extremely close match. How does this relate to the job/position description at the moment?

Very poor Poor Average Matches well Extremely close match

General Context

12. How well would you rate the effectiveness of the university/college as an organisation?

Very poor Poor Average Good Very good

12a Why?

13. What are the main problems with the university/college as an organisation (i.e. what needs to be improved)?

Work culture

Work culture is defined as work related activities in the framework of norms and values regarding work.

14. Please describe the work culture at your university/college?

15. Do you consider the work culture to be suitable for what is required?

Yes No Don't Know

15a Why?

NOW complete the following form: Hand out Part 3: Organisational Culture

16. How would you rate the effectiveness of the management of the university/college?

Very poor Poor Average Good Very good

16a Why

Current Human Resource Management

17 How would you describe the way in which the personnel/human resources/staff of this university/college is being managed?

Very poor Poor Average Good Very good

17a Why? Give a few examples to support
Probe: What needs to be changed in terms of this in order to make this a better place to work and one that could be more successful?

18 How is the HoD appraised? *Probe: What happens if a HoD is not performing?*

19 Do you receive additional remuneration for your duties as HoD? *Probe: what motivates you to do your job well?*

20 Is succession planning done? *Probe: who will follow up, when, how developed?*
Yes No

RI 2.1. What are the implications of the organisational context on development of MLCs?

3. Development of MLCs

21 What obstacles do you see at your university/college to developing MLCs in HoDs?

22 What do you believe are the most pressing needs for professional development?

23. How successful would you rate this university/college?

Not successful	**Trying to be successful**	**Doing alright**	**Quite successful**	**Absolute model uni**

23a Why?

24. Why are there no top grade universities in Kerala?

RI 1. What is the cultural context within Kerala?

25. Tell me about the things that are important to you (values)?
Probe: What are the unwritten 'must do's/know's and the critical 'taboo's'?

RI 1.1. What are the implications of the cultural context on development of MLCs?

26. Based on your understanding of western culture, what are the significant differences in Kerala (Indian) culture?

27. What aspects of Kerala culture may impact on the development of leadership and management competencies in HoDs?

NOW complete the following form: Hand out Part 4: Culture

RI 5. How can Kerala HEIs develop the MLCs of HoDs?

Given this discussion and your understanding of competencies

28. What actions, if any, should be taken to develop MLCs?

NOW complete the following form: Hand out Part 5: Development of MLCs at your University/College.

Thank you and handout small gift.

Appendix E Respondent interview list, location and dates of interview

Code	Name	Department	Date of Interview
University of Kerala: Case A			
A001	Dr Jameela Begum	English	21-Dec-05
A002	Dr J Rajan	Management	26-Dec-05
A003	Dr G Devarajan	Library and IS	3-Jan-06
A004	Dr A R Rajan	Mathematics	6-Jan-06
A005	Dr VP Mohammed Kunja Metharu	Hindi	11-Jan-06
A006	Dr B A Prakash	Economics	11-Jan-06
A007	Dr V Jayaprakal	PVC	16-Mar-06
A008	Dr RN Yesudas	Syndicate Member	12-Jan-06
MG University: Case B			
B001	Dr CS Menon	Physics	17-Jan-06
B002	Dr Raju Thadwkaran	Ind Relations and Politics	18- Jan-06
B003	Dr SS Shashidhar	Biosciences	18-Jan-06
B004	Dr Sree Ranganathan	Management	19-Jan-06
B005	KP Pushpalatha	Computer Sciences	19-Jan-06
B006	Dr MP Mathai	Ghandian and Development Studies	19-Jan-06
B007	Dr Jancy James	VC	20-Jan-06
Syndicate	none in place at time of interview		

CUSAT: Case C			
C001	Dr. Wilson	Management Studies	1-Mar-06
C002	Dr N.S Gopalkrishnan	Legal Studies	28-Feb-06
C003	Dr P Radhkrishnan	Phototonics	1-Mar-06
C004	Dr P.A Shemin Aliyar	Hindi	1-Mar-06
C005	Dr M Jatharedan	Mathematics	2-Mar-06
C006	Dr K Vasudrevan	Electronics	2-Mar-06
C007	Dr N.D Inasu	PVC	28-Feb-06
C008	Dr Psudarsanan Pilla	Syndicate Member	27-Feb-06
University College: Case D			
D001	K Balakrishnan	Geography	21-Feb-06
D002	Dr S Sreekumar	Zoology	21-Feb-06
D003	Dr Asha Sarasunathy	English	22-Feb-06
D004	Dr A Radha	History	24-Feb-06
D005	Dr S Mohanan	Physics	24-Feb-06
D006	Dr M Alaudeen	Chemistry	15-Mar-06
D007	Ms Girija	Principal	18-Feb-06
Syndicate	**none**		
Mar Ivanois College: Case E			
E001	Anne Kristenne Moreira	English	07-Jun-06
E002	Dr Cherian Thomas	Mathematics	08-Jun-06
E003	Dr V.S Jayakumar	Physics	08-Jun-06
E004	T.V George	Zoology	14-Jun-06
E005	DR K.M Francis	Economics	15-Jun-06

E006	Varghese Zacharian	Chemistry	12-Jun-06
E007	Rev. Dr Samuel Kathukallil	Principal	15-Jun-06
Syndicate	**none**		
NIT:C: Case F			
F001	Dr K. Prabhakaran Nair	Mechanical Engineering	25-Jul-06
F002	Dr K.M Moideen Kutty	Electrical Engineering	26-Jul-06
F003	Dr Lillykutty Jacob	Electronics Engineering	26-Jul-06
F004	Dr M.P Sebastian	Computer Engineering	26-Jul-06
F005	Dr G. Unnikrishnan	Science and Humanities	27-Jul-06
F006	Dr V Mustafa	Civil Engineering	27-Jul-06
F007	Dr G.R.C Reddy	Director	27-Jul-06
Syndicate	none		

Focus group participants

Name **HOD Focus Group**	**Department**	**HEI**	**Date of FG**
Dr Rita Krishnan	Psychology	University College	21-Nov-06
Laila Das	French	University College	21-Nov-06
R. Sulikha Beevi	Philosophy	University College	21-Nov-06
Followers Focus Group			
Dr Evangeline Shanti Roy	English	University of Kerala	23-Nov-06
Dr Maya Dutt	English	University of Kerala	23-Nov-06
G Sashi Kumar	Management	University of Kerala	23-Nov-06

Appendix F: Kerala Universities and Colleges Analytical Tool (KUACAT)

Kerala Universities and Colleges Analytical Tool (KUACAT): Identification and Development of MLCs

Part 1: Interviewee Profile: Please circle

Malayali Yes No Other: Please state	**Length of Service: Academic (in years)** 0-4 5-10 11-15 16-20 over 20
Age 26-35 36-45 46-55 55+	**Length of Service- HoD (in years)** 0-4 5-10 11-15 16-20 over 20
Gender Female Male	**Length of Service – Institution (in years)** 0-4 5-10 11-15 16-20 over 20
Qualification PhD Other: Please state	**Reporting Line:** Dean PVC/VC Director Principal Other: Please state
Did you receive any tertiary training abroad? Yes No **If yes, where?**	
How many professional development courses have you received in leadership and/or management? None 1-5 6-10 11-15 16-20 20+	

Part 1 continued

Tenure	**Academic workload: Hours per week**
Permanent	0-4
Fixed Term	5-10
Temporary	11-15
If fixed term or temporary: what is the	16-20
period?_____	20-25
	26-30
	Over 30
Number of staff in Department	**Student number in Department**
Academic	Under graduate
	Masters
Non Academic	PhD's
	Other
	Please state_____
Staff Qualifications (Insert Number)	**Staff Appointments (Insert Number)**
Masters	Assistant Lecturer
	Lecturer
PhD's	Senior Lecturer
	Reader
Other	Assistant Professor
	Professor
Do all the staff report directly to you?	
Yes No	
If No please describe reporting line	

(Developed for this study)

Kerala Universities and Colleges Analytical Tool (*KUACAT*): Identification and Development of MLCs

Part 2: Identification of MLCs

How to use this instrument:

1. Please read through the descriptions for each of these competencies
2. Read through the instrument and rank the competency based on your view of its current importance **for your role as a Head of Department** based on the following:

1 not important at all 2 somewhat important 3 important 4 very important 5 absolutely critical

Competency	***Current Importance***
Understanding self and others	
Communicating effectively	
Developing employees	
Building teams	
Use participative decision making	
Managing conflict	
Monitoring and managing individual performance	
Managing collective performance & processes	
Analysing information with critical thinking	
Managing projects	
Designing and allocating work eg actually writing the position (job) descriptions of academic staff	
Managing effectively across departments and areas at the university/college	
Developing and communicating a vision for your department	
Setting goals and objectives	
Designing and organising including budget	
Working productively	
Fostering a productive work environment	
Managing time and stress	
Building and maintaining a power base	
Negotiating agreement and commitment	
Presenting ideas	
Leading change	
Thinking creatively	
Handling change that comes from the top	

[Adapted for this study from Quinn et al (2003)]

Are there any other competencies you would include?

Kerala Universities and Colleges Analytical Tool (*KUACAT*): Identification and Development of MLCs

Part 3: Organisational Culture

How to use this instrument:

Please read the descriptions below describing your university/college and select the number which shows your level of agreement to this item.

1 Strongly disagree **2 Disagree** **3 Neutral** **4 Agree** **5 Strongly Agree**

Description	**Selection**				
Participation, open discussion	1	2	3	4	5
Empowerment of employees to act	1	2	3	4	5
Assessing employees concerns and ideas	1	2	3	4	5
Human relations, teamwork and cohesion	1	2	3	4	5
Flexibility, decentralisation	1	2	3	4	5
Expansion growth and development	1	2	3	4	5
Innovation and change	1	2	3	4	5
Creative problem solving process	1	2	3	4	5
Control, centralisation	1	2	3	4	5
Routine, formalisation and structure	1	2	3	4	5
Stability, continuity, order	1	2	3	4	5
Predictable performance outcomes	1	2	3	4	5
Task focus, accomplishment , goal achievement	1	2	3	4	5
Direction, objective setting, goal clarity	1	2	3	4	5
Efficiency, productivity,	1	2	3	4	5
Outcome excellence, quality	1	2	3	4	5

[Adapted for this study from Quinn & Spreitzer (1991)]

Kerala Universities and Colleges Analytical Tool (KUACAT): Identification and Development of MLCs

Part 4 Culture

How to use this instrument:

Geert Hofstede developed five dimensions by which to judge culture. In each of the boxes below indicate to what extent these statements apply to people in Kerala.

Individualism vs. Collectivism

Precise time reckoning	1…….. 2……..3……..4…..... 5	Loose time reckoning
Doing/working/achievement	1……. .2……..3……..4…… 5	Being (personal qualities)
Future oriented	1……. .2……..3……..4…… 5	Past oriented
Informality	1……. .2……..3……..4…… 5	Formality
Competition	1……. .2……..3……..4…… 5	Co-operation
Relative equality of sexes	1……. .2……..3……..4…… 5	Relative inequality of sexes

[Hofstede (1991)]

Power Distance

Hierarchy in organisation means an inequality of roles, established for convenience	1……. .2……..3……..4…… 5	Hierarchy in organisation reflects the existential inequality between high status and lower status people
Decentralisation is popular	1……. .2……..3……..4…… 5	Centralisation is popular
Narrow salary ranges between top and bottom of company	1……. .2……..3……..4…… 5	Wide salary range between top and bottom of company
Subordinates expect to be consulted	1……. .2……..3……..4…… 5	Subordinates expect to be told what to do
Ideal boss: resourceful democratic	1……. .2……..3……..4…… 5	Ideal boss: benevolent autocrat, good father
Privileges and status symbols frowned upon	1……. .2……..3……..4…… 5	Privileges and status symbols for manager are expected and popular

[Hofstede (1991)].

Feminine vs. Masculine

Values: caring for others, preservation	1……. .2……..3……..4…… 5	Values: material success, progress
People and relationships are important	1……. .2……..3……..4…… 5	Money and things are important
Everybody must be modest	1……. .2……..3……..4…… 5	Men must be assertive, ambitious, tough
Men and women can be tender and concerned with relationships	1……. .2……..3……..4…… 5	Women must be tender and take care of relationships
Failing in school is a minor accident	1……. .2……..3……..4…… 5	Failing in school is a disaster
Work in order to live	1……. .2……..3……..4…… 5	Live in order to work
Managers strive for consensus, can use intuition	1……. .2……..3……..4…… 5	Managers are decisive and assertive
Equality, solidarity and quality of work life important	1……. .2……..3……..4…… 5	Equity, competition and performance important
Conflicts resolved by compromise and negotiation	1……. .2……..3……..4…… 5	Conflicts solved by fighting it out.

[Hofstede (1991)]

Uncertainty Avoidance

No more rules than is strictly necessary	1……. .2……..3……..4…… 5	Emotional need for rules, even unworkable rules
Time is a framework for orientation	1……. .2……..3……..4…… 5	Time is money
Hardworking only when necessary	1……. .2……..3……..4…… 5	Need to be busy, inner urge to work hard
Precision /punctuality need to be learned	1……. .2……..3……..4…… 5	Precision/punctuality come naturally
Deviant and innovative ideas are tolerated	1……. .2……..3……..4…… 5	Suppression of innovative or deviant ideas
Motivation by achievement, esteem or belonging	1……. .2……..3……..4…… 5	Motivation by security, esteem or belonging

[Hofstede (1991)]

Time Orientation

Only one activity at a time	1……. .2……..3……..4…… 5	Do more than one activity at a time
Keep appointments strictly; schedule in advance and do not run late	1……. .2……..3……..4…… 5	Appointments are approximate and subject to "giving time" to significant others
Relationships are generally subordinate to schedule	1……. .2……..3……..4…… 5	Schedules are generally subordinate to relationships
Time is sizeable and measurable	1……. .2……..3……..4…… 5	Time is cyclical and can be juggled

[Adapted from Trompenaars (1993)]

Kerala Universities and Colleges Analytical Tool (KUACAT): Identification and Development of MLCs

Part 5 Development of Leadership and Management Competencies at Your University/College

There are many ways to develop or enhance leadership and management competencies. Please select from the list below those that you believe would be beneficial to you as a **Head of Department** and place a tick in the choice column.

Choice	**Developmental Activity**. *Most of the developmental activities are conducted on the job*
	Special assignment. Some special assignment can be carried out with regular job responsibility; other may require a temporary leave from regular job responsibility.
	Job rotation. Job rotation involves lateral transfers that enable trainees to work on different jobs. Participants get to learn a wide variety of jobs while gaining increased insight into the interdependency between jobs and a wide perspective of organisational activities.
	Action learning. Typical action learning is conducted over a period of several months and includes field project work interspersed with skill training seminars. Most action learning projects are linked to formal training. Individuals or teams conduct field projects on complex organisational problems requiring the use of skills learned in formal training sessions. Trainees meet periodically with a skilled facilitator to discuss, analyse and learn from their experiences.
	Mentoring. Mentoring is a relationship in which an experienced manager helps a less experienced protégé. The mentor is usually at a higher managerial level and not the protégée's immediate boss. Another form of mentoring is executive coaching which is accomplished by having an executive coach to meet privately with the protégé periodically to work on his or her leaders' learning and development aspects.
	Feedback coaching. This type of coaching, which typically takes one to six months, involves giving feedback to the protégé and helping him or her create a development plan to address specific needs. It's generally accompanied by a 360 degree assessment instrument, with which the coach helps the leader analyse the data to identify strengths and areas needing development.
	In-depth development coaching. The coach meets with the trainee to collect and analyse data on the competency. The coach then meets with the trainee to analyse the results. Then, the trainee and the coach create a draft development plan, which the protégé usually shares with his or her manager to obtain input. The next phase is implementing the development plan, with the coach still closely involved.
	Content coaching. This technique provides the protégé with knowledge and skills in a specific content area. Content coaches are experts in a specific discipline, and they are brought in to meet with a protégé in a series of sessions to ensure that the trainee develops the necessary knowledge and skills in that area. The coaching can include having the protégé read books or articles and debrief with the coach, conducting role plays and being video taped for further analysis.
	Multi-source feedback workshops (360-degree rating). Managers receive information about their skills and behaviours from standard questionnaire filled out by other people such as subordinates, peers, supervisors, and sometime outsiders. Feedback is likely to be more accurate if the rating questionnaire is easy to understand and to rate. The people who provide the feedback have interacted with the manager regularly over a period of time and have adequate opportunity to observe the behaviours on the questionnaire.
	Developmental assessment centers and workshops. The purpose of the assessment centre is to measure management competencies and advancement potential of the participants. It is designed to help the 360-degree feedback approach. This method may include interview, aptitude test, and/or personality test. The findings are integrated and used to develop an overall evaluation of each participant's leadership potential.

Choice	**Developmental Activity**. *Most of the developmental activities are conducted on the job*
	Outdoor challenge programs. Outdoor challenge programs include physical activities performed by a group of people in an outdoor setting. The typical program includes a sequence of increasingly challenging physical activities that require mutual trust and co-operation among group members. The purpose of outdoor adventure is to develop personal growth and team building. The development activities are designed to increase self-confidence, self-control, risk taking and trust.
	Personal development programs. The program typically has a series of psychological exercises in which participants attempt to understand their purpose for living and working and share this understanding with each other. Personal growth programs usually involve strong emotional experiences and are more likely to have a lasting effect on participants than most training program.
	Training programs. Training programs are usually conducted off the job. They range from a short session conducted by external consulting companies to a training program that is tailored to the needs of a particular organisation.
	Classroom lectures. Classroom lectures are well suited for conveying specific information. They can be used effectively for developing technical and problem solving skills.
	Films and videos. Films and videos can also be used to explicitly demonstrate skills that are not easily presented by other methods.
	Simulation exercise. Simulation exercises such as business game, case analyses, experiential exercises, role-playing and group interaction sessions are used to improve interpersonal and problem solving skills.
	Behavior role modeling. This is the combination of two older methods, demonstration and role playing, to enhance interpersonal skills. In this training, small groups of trainees observe someone demonstrate how to handle a particular type of interpersonal problem, and then they practice the behaviours in role-play and get non-threatening feedback.
	Case discussion. Detailed case studies are used to practice analytical and decision-making skills. One potential benefit of a case is to increase understanding about situations a manager may encounter. It also illustrates how the same problem may appear very different to people with different values, interests and assumptions.
	Business games require trainees to analyse complex problems and make decisions. They also allow trainees to deal with the consequences of their decisions. Most business games emphasise quantitative financial information and are used to practice analytical and decision skills.

[Adapted for this study from Dedoussis (2004)]

This completes the questions. Thank you very much for taking part in the study.

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Appendix G: Select preliminary findings used for basis of Focus Group discussions

Leadership and Management Competencies
Heads of Departments
Kerala Universities and Colleges

Definition of the Term *Competencies*

Competencies are integrated sets of manager **behaviours and attributes** which can be directed towards successful goal achievement within competence domains to agreed work standards.

What Competencies do Heads of Departments need?

1	Figurehead	13	Interpersonal skills
2	Negotiation/ Influencing skills	14	Liaison and networking
3	Administration	15	Academic role
4	Planning and organising	16	Innovation
5	Co ordination	17	Monitoring and control
6	Motivation	18	Communication skills
7	Decision making	19	Problem solving
8	Organising	20	Managing resources
9	Developing people	21	Stakeholder/ Student focus
10	Team work	22	Time management
11	Quality improvement	23	Crisis management
12	Developing and communicating a vision	24	Integrity/Ethics

(RI 3)

What are your views on the ranking of these competencies as the most important for HoDs?

1	Understanding self and others	13	Handling change
2	Communicating effectively	14	Managing time and stress
3	Developing and communicating a vision	15	Fostering a productive work environment
4	Setting goals and objectives	16	Managing projects
5	Thinking creatively	17	Negotiating agreement and commitment
6	Monitoring individual performance	18	Managing conflict
7	Managing collective performance and processes	19	Leading change
8	Working productively	20	Building teams
9	Presenting ideas	21	Designing and organising
10	Use participative decision making	22	Designing work
11	Analysing information with critical thinking	23	Managing across functions
12	Developing employees	24	Building and maintaining a power base

(RI 4)

What are your views on the following ways to develop Managerial Leadership competencies?

- Government
- Implementation of a quality system in organisation
- Management training
- Improvement of HR processes

Any others?

What method would you choose to develop Managerial Leadership competencies?

1	Classroom lectures	10	Job rotation
2	Personal development programs	11	Business games
3	Training programs	12	Action learning
4	Films and videos	13	Simulation exercise
5	Mentoring	14	Feedback coaching
6	Content coaching	15	In-depth development coaching
7	Developmental assessment centres and workshop	16	Multi-source feedback workshops (360-degree rating)
8	Case discussion	17	Outdoor challenge programs
9	Special assignment	18	Behaviour role modelling

(RI 5)

What do you think about these identified obstacles to the development of Managerial Leadership competencies in HoDs?

- HR Support
- Union involvement
- Legislation/ State government
- Political Interference
- Financial
- Work culture
- Vision/Ability of decision makers.

Any others?

(RI 4)

Appendix H: Ethics Clearance

USQ
AUSTRALIA

The University of Southern Queensland

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30 June 2005

Ms Cheryl Crosthwaite
c/- SMEC India Tower
Edapazhanji Jn, Vazhuthacaud
Trivandrum 695 014
India

Dear Ms Crosthwaite

Re: Ethics Clearance for Research Project, *How can leadership and management competencies in Kerala universities be identified and developed?*

The USQ Human Research Ethics Committee recently reviewed your application for ethics clearance. Your project has been endorsed and full ethics approval is confirmed. Reference number **H05STU486** is assigned to this approval that remains valid to 30 June 2006.

The Committee is required to monitor research projects that have received ethics clearance to ensure their conduct is not jeopardising the rights and interests of those who agreed to participate. Accordingly, you are asked to forward a **written report** to this office after twelve months from the date of this approval or upon completion of the project.

A questionnaire will be sent to you requesting details that will include: the status of the project; a statement from you as principal investigator, that the project is in compliance with any special conditions stated as a condition of ethical approval; and confirming the security of the data collected and the conditions governing access to the data. The questionnaire, available on the web, can be forwarded with your written report.

Please note that you are responsible for notifying the Committee immediately of any matter that might affect the continued ethical acceptability of the proposed procedure.

Yours sincerely

Christine Bartlett
Postgraduate and Ethics Officer
Office of Research and Higher Degrees

Professor R Bowie

Australia's University of the Year 2000 - 2001

Appendix I: Individual case results

This appendix contains the results of this study on a per case basis against each of the identified research issues. Not all questions contained within the interview protocol were asked of each respondent due to time constraints[12].

1. RI 1: Cultural context of Kerala

The purpose of this section is to present the data on the cultural context of Kerala. The findings are based on responses to questions 25-27 in the interview protocol (Appendix D)[13], and results of part 4 of the *KUACAT*.

Case A

The four key cultural factors raised by respondents of Case A at interview (Qu.25-6) are:

Traditions *Hindu religion is very important…caste matters* (A001).

Relationships *Relationship of family very important* (A003); *valued in Kerala more than west* (A006).

Values *Equality and care for human beings* (A002).

Work ethic *In Kerala do not need to be competitive; relax; safe in job, paid if work or don't work* (A001).

Case A HoDs rated Kerala culture based on the dimensions presented in part four of the *KUACAT*. Table I1 presents the supporting raw data responses for each descriptor as well as the total and associated percentage for the dimension. Thus for Case A, respondents felt that Kerala culture was best described by the following cultural dimensions: neutral to individualistic, feministic; low power distance; low uncertainty avoidance and tight time orientation.

Case B

The three key cultural factors raised by respondents of Case B at interview (Qu.25-6) are the themes of:

Traditions *Traditional culture which was good is now being influenced by the west* (B003)

Values *Duty* and *discipline* (B004)

Work ethic *Keralites are developing a work less get more attitude* (B005).

Case B HoDs rated Kerala culture based on the dimensions presented in part four of the *KUACAT*. Table I2 presents the supporting raw data responses for each descriptor as well as the total and associated percentage for the dimension. Collation of responses from Case B interviewees

[12] In particular question 23 in regard to the HoD perception of the successful nature of their organisation was not asked as this was felt to be a lower priority question yielding less pertinent data

[13] These questions resulted in few responses from the HoDs even when probe questions were used.

indicates that Kerala culture could be described as neutral (neither individualistic nor collective); a stronger feministic dimension; almost equal responses to both high and low power distance; high uncertainty avoidance and again almost equal responses to a tight or loose time orientation.

Case C

Three key cultural factors were raised by Case C respondents at interview (Qu.25-6) and these are:

Traditions *Caste distinction has come down significantly in Kerala* (C002).

Work ethic *Employment in the public sector is seen as social good so there is a force to keep high levels of administrative staff in job regardless of their productivity* (C005).

Value *Cannot compare academic management to that of running a business here in Kerala as academic management has its own situation; a Guru in Sanskrit is the embodiment of educational and other qualities, moral, cultural, spiritual; that's what HoDs should be but there is not one of these at the university* (C001).

Case C HoDs rated Kerala culture based on the dimensions presented in part four of the *KUACAT*. Table I3 presents the supporting raw data responses for each descriptor as well as the total and associated percentage for the dimension. Case C respondents felt that Kerala culture was best described by the following cultural dimensions: individualistic; feministic; almost equal responses to both high and low power distance; a low uncertainty avoidance and loose time orientation.

Case D

Two key cultural factors were raised by respondents at interview for Case D at interview (Qu.25-6) and these are:

Values *Honesty / integrity (are important)* (D007).

Work ethic *Political climate is not conducive to good administration/ good work ethic* (D002).

Case D HoDs rated Kerala culture based on the dimensions presented in part four of the *KUACAT*. Table I4 presents the supporting raw data responses for each descriptor as well as the total and associated percentage for the dimension. Collation of responses from Case D interviewees indicates that Kerala culture could be described as neutral (neither individualistic nor collective) *feministic*, low *power distance*; low *uncertainty avoidance* and a *tight time orientation*.

Case E

Four key cultural factors were raised by respondents of Case E, at interview, (Qu.25-6) and these are:

Traditions *More importance to tradition (here) than the west* (E005).

Relationships *Children are what drive Keralites - this may be true of other cultures but not held as fiercely as in Kerala* (E001).

Values *Concern for others is important* (E006).

> *Culture states that "teaching profession is a noble one"; and teachers are treated like Gurus (Masters) so teachers feel they should not be assessed; … but they should* (E005).

Case E HoDs rated Kerala culture based on the dimensions presented in part four of the *KUACAT*. Table I5 presents the supporting raw data responses for each descriptor as well as the total and associated percentage for the dimension. Case E respondents felt that Kerala culture was best described by the following cultural dimensions: *collectivism* and *feministic.* Results indicate an almost even spread of *high* and *low power distance* and a neutral position on *uncertainty avoidance* and *time orientation.*

Case F

Three key cultural factors were raised by respondents of Case F at interview (Qu.25-6) and these are:

Traditions *Every one in Kerala goes to college. Scheduled castes and tribes can send children to college even if pass rate is low and they only need 35 percent to pass college exams- this means than government colleges can be filled with lower achieving students (F001) ; aided colleges are " infinitely better"* (F006).

Relationships *In Kerala culture it is Father first, then Mother, then Teacher. Teachers are revered and respected by students and by the culture* (F007).

Values *Education is an important value in Kerala* (F001).

Case F HoDs rated Kerala culture based on the dimensions presented in part four of the *KUACAT*. Table I6 presents the supporting raw data responses for each descriptor as well as the total and associated percentage for the dimension. Case F respondents felt that Kerala culture was best described by the following cultural dimensions neutral to *collectivism*; *feministic*; and low *uncertainty avoidance*. Both *power distance* and *time orientation* results were spread approximately evenly on both sides to the continuum.

The five cultural dimensions on a per case analysis are presented in Tables I 1-6.

Table I 1: *Case A Cultural dimensions - all descriptors N=6*

Individualism		**Neutral**		**Collectivism**
Precise time reckoning	3	3		Loose time reckoning
Doing/working/achievement	2	2	2	Being (personal qualities)
Future oriented	3	1	2	Past oriented
Informality		3	3	Formality
Competition	2	2	2	Co-operation
Relative equality of sexes	3	2	1	Relative inequality of sexes
Number (Percentage of Total)	**13 (36%)**	**13 (36%)**	**10 (28%)**	
Feminine		**Neutral**		**Masculine**
Values: caring for others, preservation	4		2	Values: material success, progress
People & relationships are important	6			Money & things are important
Everybody must be modest	5		1	Men must be assertive, ambitious, tough
Men and women can be tender & concerned with relationships	3		3	Women must be tender and take care of relationships
Failing in school is a minor accident	1	2	3	Failing in school is a disaster
Work in order to live	4	2		Live in order to work
Managers strive for consensus, can use intuition	1	3	2	Managers are decisive and assertive
Equality, solidarity & quality of work life important	2	3	1	Equity, competition & performance important
Conflicts resolved by compromise and negotiation	3	3		Conflicts solved by fighting it out.
Number (Percentage of Total)	**29 (54%)**	**13 (24%)**	**12 (22%)**	
Low Power Distance		**Neutral**		**High Power Distance**
Hierarchy in organisation means an inequality of roles, established for convenience	3	2	1	Hierarchy in organisation reflects the existential inequality between high status & lower status people
Decentralisation is popular	3	2	1	Centralisation is popular
Narrow salary ranges between top and bottom of company	3	2	1	Wide salary range between top and bottom of company
Subordinates expect to be consulted	4	1	1	Subordinates expect to be told what to do
Ideal boss: resourceful democratic	6			Ideal boss: benevolent autocrat, good father
Privileges and status symbols frowned upon	2		4	Privileges and status symbols for manager are expected & popular
Number (Percentage of Total)	**21 (58%)**	**7 (20%)**	**8 (22%)**	
Low Uncertainty Avoidance		**Neutral**		**High Uncertainty Avoidance**
No more rules than is strictly necessary	2	3	1	Emotional need for rules, even unworkable rules
Time is a framework for orientation	3	2	1	Time is money
Hardworking only when necessary	4	1	1	Need to be busy, inner urge to work hard
Precision /punctuality need to be learned	5		1	Precision/punctuality come naturally
Deviant & innovative ideas are tolerated	3	3		Suppression of innovative or deviant ideas
Motivation by achievement, esteem or belonging	3	2	1	Motivation by security, esteem or belonging
Number (Percentage of Total)	**20 (56%)**	**11 (30%)**	**5 (14%)**	
Tight Time Orientation		**Neutral**		**Loose Time Orientation**
Only one activity at a time	3	2	1	Do more than one activity at a time
Keep appointments strictly; schedule in advance and do not run late	3	2	1	Appointments are approximate and subject to "giving time" to significant others
Relationships are generally subordinate to schedule	2	1	3	Schedules are generally subordinate to relationships
Time is sizeable and measurable	4	1	1	Time is cyclical and can be juggled
Number (Percentage of Total)	**12 (50%)**	**6 (25%)**	**6 (25%)**	

(Developed for this study from data supplied in part 4 of the KUACAT and adapted from Hofstede 1991 & Trompenaars 1993)

Table I 2: *Case B Cultural dimensions - all descriptors N=6*

Individualism		**Neutral**		**Collectivism**
Precise time reckoning	2	2	2	Loose time reckoning
Doing/working/achievement	1	5		Being (personal qualities)
Future oriented	2	3	1	Past oriented
Informality	3	2	1	Formality
Competition	3	2	1	Co-operation
Relative equality of sexes	1	2	3	Relative inequality of sexes
Number (Percentage of Total)	**12 (34%)**	**16 (44%)**	**8 (22%)**	
Feminine		**Neutral**		**Masculine**
Values: caring for others, preservation	1	3	2	Values: material success, progress
People & relationships are important	3	1	2	Money & things are important
Everybody must be modest	2	2	2	Men must be assertive, ambitious, tough
Men and women can be tender & concerned with relationships	4		2	Women must be tender and take care of relationships
Failing in school is a minor accident	1	1	4	Failing in school is a disaster
Work in order to live	5		1	Live in order to work
Managers strive for consensus, can use intuition	1	2	3	Managers are decisive and assertive
Equality, solidarity & quality of work life important	4	1	1	Equity, competition & performance important
Conflicts resolved by compromise and negotiation	3	1	2	Conflicts solved by fighting it out.
Number (Percentage of Total)	**24 (44%)**	**11 (20%)**	**19 (36%)**	
Low Power Distance		**Neutral**		**High Power Distance**
Hierarchy in organisation means an inequality of roles, established for convenience	3	1	2	Hierarchy in organisation reflects the existential inequality between high status & lower status people
Decentralisation is popular	2	1	3	Centralisation is popular
Narrow salary ranges between top and bottom of company	2		4	Wide salary range between top and bottom of company
Subordinates expect to be consulted	4	1	1	Subordinates expect to be told what to do
Ideal boss: resourceful democratic	2	1	3	Ideal boss: benevolent autocrat, good father
Privileges and status symbols frowned upon	2		4	Privileges and status symbols for manager are expected & popular
Number (Percentage of Total)	**15 (42%)**	**4 (11%)**	**17 (47%)**	
Low Uncertainty Avoidance		**Neutral**		**High Uncertainty Avoidance**
No more rules than is strictly necessary	3	1	2	Emotional need for rules, even unworkable rules
Time is a framework for orientation	2	3	1	Time is money
Hardworking only when necessary	4	1	1	Need to be busy, inner urge to work hard
Precision /punctuality need to be learned	3		3	Precision/punctuality come naturally
Deviant & innovative ideas are tolerated	3		3	Suppression of innovative or deviant ideas
Motivation by achievement, esteem or belonging	2	2	2	Motivation by security, esteem or belonging
Number (Percentage of Total)	**17 (47%)**	**7 (20%)**	**12 (33%)**	
Tight Time Orientation		**Neutral**		**Loose Time Orientation**
Only one activity at a time	2	2	2	Do more than one activity at a time
Keep appointments strictly; schedule in advance and do not run late	2	2	2	Appointments are approximate and subject to "giving time" to significant others
Relationships are generally subordinate to schedule	3		3	Schedules are generally subordinate to relationships
Time is sizeable and measurable	3	1	2	Time is cyclical and can be juggled
Number (Percentage of Total)	**10 (42%)**	**5 (21%)**	**9 (37%)**	

(Developed for this study from data supplied in part 4 of the KUACAT and adapted from Hofstede 1991 & Trompenaars 1993)

Table I 3: *Case C Cultural dimensions - all descriptors N=6*

Individualism		**Neutral**		**Collectivism**
Precise time reckoning		2	4	Loose time reckoning
Doing/working/achievement	1	3	2	Being (personal qualities)
Future oriented	2	1	3	Past oriented
Informality	5	1		Formality
Competition	4	1	1	Co-operation
Relative equality of sexes	3	1	2	Relative inequality of sexes
Number (Percentage of Total)	**15 (42%)**	**9 (25%)**	**12 (33%)**	
Feminine		**Neutral**		**Masculine**
Values: caring for others, preservation	5		1	Values: material success, progress
People & relationships are important	5	1		Money & things are important
Everybody must be modest	3	3		Men must be assertive, ambitious, tough
Men and women can be tender & concerned with relationships	2	1	3	Women must be tender and take care of relationships
Failing in school is a minor accident	1	1	4	Failing in school is a disaster
Work in order to live	3	2	1	Live in order to work
Managers strive for consensus, can use intuition	4		2	Managers are decisive and assertive
Equality, solidarity & quality of work life important	2	2	2	Equity, competition & performance important
Conflicts resolved by compromise and negotiation	3	1	2	Conflicts solved by fighting it out.
Number (Percentage of Total)	**28 (52%)**	**11 (20%)**	**15 (28%)**	
Low Power Distance		**Neutral**		**High Power Distance**
Hierarchy in organisation means an inequality of roles, established for convenience	2	1	3	Hierarchy in organisation reflects the existential inequality between high status & lower status people
Decentralisation is popular	3	1	2	Centralisation is popular
Narrow salary ranges between top and bottom of company	2	2	2	Wide salary range between top and bottom of company
Subordinates expect to be consulted	2		4	Subordinates expect to be told what to do
Ideal boss: resourceful democratic	4	2		Ideal boss: benevolent autocrat, good father
Privileges and status symbols frowned upon	1	1	4	Privileges and status symbols for manager are expected & popular
Number (Percentage of Total)	**14 (39%)**	**7 (19%)**	**15 (42%)**	
Low Uncertainty Avoidance		**Neutral**		**High Uncertainty Avoidance**
No more rules than is strictly necessary	3	2	1	Emotional need for rules, even unworkable rules
Time is a framework for orientation	3	2	1	Time is money
Hardworking only when necessary	3		3	Need to be busy, inner urge to work hard
Precision /punctuality need to be learned	4		2	Precision/punctuality come naturally
Deviant & innovative ideas are tolerated	6			Suppression of innovative or deviant ideas
Motivation by achievement, esteem or belonging	1	3	2	Motivation by security, esteem or belonging
Number (Percentage of Total)	**20 (56%)**	**7 (19%)**	**9 (25%)**	
Tight Time Orientation		**Neutral**		**Loose Time Orientation**
Only one activity at a time		1	5	Do more than one activity at a time
Keep appointments strictly; schedule in advance and do not run late	1	1	4	Appointments are approximate and subject to "giving time" to significant others
Relationships are generally subordinate to schedule		2	4	Schedules are generally subordinate to relationships
Time is sizeable and measurable		1	5	Time is cyclical and can be juggled
Number (Percentage of Total)	**1 (5%)**	**5 (20%)**	**18 (75%)**	

(Developed for this study from data supplied in part 4 of the KUACAT and adapted from Hofstede 1991 & Trompenaars 1993)

Table I 4: *Case D Cultural dimensions - all descriptors N=6*

Individualism		**Neutral**		**Collectivism**
Precise time reckoning	2	2	2	Loose time reckoning
Doing/working/achievement	1	3	2	Being (personal qualities)
Future oriented	3	1	2	Past oriented
Informality	1	3	2	Formality
Competition	2	2	2	Co-operation
Relative equality of sexes	2	2	2	Relative inequality of sexes
Number (Percentage of Total)	**11 (31%)**	**13 (36%)**	**12 (33%)**	
Feminine		**Neutral**		**Masculine**
Values: caring for others, preservation	3	2	1	Values: material success, progress
People & relationships are important	4	2		Money & things are important
Everybody must be modest	3	1	2	Men must be assertive, ambitious, tough
Men and women can be tender & concerned with relationships	1	2	3	Women must be tender and take care of relationships
Failing in school is a minor accident	2	2	2	Failing in school is a disaster
Work in order to live	5	1		Live in order to work
Managers strive for consensus, can use intuition	2	1	3	Managers are decisive and assertive
Equality, solidarity & quality of work life important	3	1	2	Equity, competition & performance important
Conflicts resolved by compromise and negotiation	4	2		Conflicts solved by fighting it out.
Number (Percentage of Total)	**27 (50%)**	**14 (26%)**	**13 (24%)**	
Low Power Distance		**Neutral**		**High Power Distance**
Hierarchy in organisation means an inequality of roles, established for convenience	1	3	2	Hierarchy in organisation reflects the existential inequality between high status & lower status people
Decentralisation is popular	4	1	1	Centralisation is popular
Narrow salary ranges between top and bottom of company	2	2	2	Wide salary range between top and bottom of company
Subordinates expect to be consulted	4		2	Subordinates expect to be told what to do
Ideal boss: resourceful democratic	3	2	1	Ideal boss: benevolent autocrat, good father
Privileges and status symbols frowned upon	1	2	3	Privileges and status symbols for manager are expected & popular
Number (Percentage of Total)	**15 (41%)**	**10 (28%)**	**11 (31%)**	
Low Uncertainty Avoidance		**Neutral**		**High Uncertainty Avoidance**
No more rules than is strictly necessary	2	3	1	Emotional need for rules, even unworkable rules
Time is a framework for orientation	2	4		Time is money
Hardworking only when necessary	4		2	Need to be busy, inner urge to work hard
Precision /punctuality need to be learned	4	1	1	Precision/punctuality come naturally
Deviant & innovative ideas are tolerated	4	1	1	Suppression of innovative or deviant ideas
Motivation by achievement, esteem or belonging	5		1	Motivation by security, esteem or belonging
Number (Percentage of Total)	**21 (58%**	**9 (25%**	**6 (17%**	
Tight Time Orientation		**Neutral**		**Loose Time Orientation**
Only one activity at a time	2	3	1	Do more than one activity at a time
Keep appointments strictly; schedule in advance and do not run late	4	1	1	Appointments are approximate and subject to "giving time" to significant others
Relationships are generally subordinate to schedule	2	2	2	Schedules are generally subordinate to relationships
Time is sizeable and measurable	3	2	1	Time is cyclical and can be juggled
Number (Percentage of Total)	**11 (46%**	**8 (33%**	**5 (21%**	

(Developed for this study from data supplied in part 4 of the KUACAT and adapted from Hofstede 1991 & Trompenaars 1993)

Table I 5: *Case E Cultural dimensions - all descriptors N=6*

Individualism		**Neutral**		**Collectivism**
Precise time reckoning	3		3	Loose time reckoning
Doing/working/achievement	2	1	3	Being (personal qualities)
Future oriented	1	3	2	Past oriented
Informality		4	2	Formality
Competition	2		4	Co-operation
Relative equality of sexes	2	1	3	Relative inequality of sexes
Number (Percentage of Total)	**10 (28%**	**9 (25%**	**17 (47%**	
Feminine		**Neutral**		**Masculine**
Values: caring for others, preservation	4		2	Values: material success, progress
People & relationships are important	5	1		Money & things are important
Everybody must be modest	3	3		Men must be assertive, ambitious, tough
Men and women can be tender & concerned with relationships	2	2	2	Women must be tender and take care of relationships
Failing in school is a minor accident	1	4	1	Failing in school is a disaster
Work in order to live	5	1		Live in order to work
Managers strive for consensus, can use intuition	3	3		Managers are decisive and assertive
Equality, solidarity & quality of work life important	3	2	1	Equity, competition & performance important
Conflicts resolved by compromise and negotiation	5	1		Conflicts solved by fighting it out.
Number (Percentage of Total)	**31 (58%**	**17 (31%**	**6 (11%**	
Low Power Distance		**Neutral**		**High Power Distance**
Hierarchy in organisation means an inequality of roles, established for convenience	3	1	2	Hierarchy in organisation reflects the existential inequality between high status & lower status people
Decentralisation is popular	3	1	2	Centralisation is popular
Narrow salary ranges between top and bottom of company	2		4	Wide salary range between top and bottom of company
Subordinates expect to be consulted	2	1	3	Subordinates expect to be told what to do
Ideal boss: resourceful democratic	4		2	Ideal boss: benevolent autocrat, good father
Privileges and status symbols frowned upon	1	2	3	Privileges and status symbols for manager are expected & popular
Number (Percentage of Total)	**15 (42%**	**5 (14%**	**16 (44%**	
Low Uncertainty Avoidance		**Neutral**		**High Uncertainty Avoidance**
No more rules than is strictly necessary	1	3	2	Emotional need for rules, even unworkable rules
Time is a framework for orientation	3	3		Time is money
Hardworking only when necessary	1	3	2	Need to be busy, inner urge to work hard
Precision /punctuality need to be learned	2	4		Precision/punctuality come naturally
Deviant & innovative ideas are tolerated	3	2	1	Suppression of innovative or deviant ideas
Motivation by achievement, esteem or belonging	2	3	1	Motivation by security, esteem or belonging
Number (Percentage of Total)	**12 (33%**	**18 (50%**	**6 (17%**	
Tight Time Orientation		**Neutral**		**Loose Time Orientation**
Only one activity at a time	1	3	2	Do more than one activity at a time
Keep appointments strictly; schedule in advance and do not run late	3	1	2	Appointments are approximate and subject to "giving time" to significant others
Relationships are generally subordinate to schedule		5	1	Schedules are generally subordinate to relationships
Time is sizeable and measurable	3	2	1	Time is cyclical and can be juggled
Number (Percentage of Total)	**7 (29%**	**11 (46%**	**6 (25%**	

(Developed for this study from data supplied in part 4 of the KUACAT and adapted from Hofstede 1991 & Trompenaars 1993)

Table I 6: *Case F Cultural dimensions - all descriptors N=6*

Individualism		**Neutral**		**Collectivism**
Precise time reckoning	2	1	3	Loose time reckoning
Doing/working/achievement	1	1	4	Being (personal qualities)
Future oriented	1	3	2	Past oriented
Informality		4	2	Formality
Competition		3	3	Co-operation
Relative equality of sexes	2	3	1	Relative inequality of sexes
Number (Percentage of Total)	**6 (16%**	**15 (42%**	**15 (42%**	
Feminine		**Neutral**		**Masculine**
Values: caring for others, preservation	4	1	1	Values: material success, progress
People & relationships are important	4	1	1	Money & things are important
Everybody must be modest	2	3	1	Men must be assertive, ambitious, tough
Men and women can be tender & concerned with relationships	3	1	2	Women must be tender and take care of relationships
Failing in school is a minor accident	3	1	2	Failing in school is a disaster
Work in order to live	3	2	1	Live in order to work
Managers strive for consensus, can use intuition	4	2		Managers are decisive and assertive
Equality, solidarity & quality of work life important	2	3	1	Equity, competition & performance important
Conflicts resolved by compromise and negotiation	4	2		Conflicts solved by fighting it out.
Number (Percentage of Total)	**29 (54%**	**16 (30%**	**9 (16%**	
Low Power Distance		**Neutral**		**High Power Distance**
Hierarchy in organisation means an inequality of roles, established for convenience	4		2	Hierarchy in organisation reflects the existential inequality between high status & lower status people
Decentralisation is popular	3	1	2	Centralisation is popular
Narrow salary ranges between top and bottom of company	1		5	Wide salary range between top and bottom of company
Subordinates expect to be consulted	3		3	Subordinates expect to be told what to do
Ideal boss: resourceful democratic	3	2	1	Ideal boss: benevolent autocrat, good father
Privileges and status symbols frowned upon	3	1	2	Privileges and status symbols for manager are expected & popular
Number (Percentage of Total)	**17 (47%**	**4 (11%**	**15 (42%**	
Low Uncertainty Avoidance		**Neutral**		**High Uncertainty Avoidance**
No more rules than is strictly necessary	3	2	1	Emotional need for rules, even unworkable rules
Time is a framework for orientation	1	4	1	Time is money
Hardworking only when necessary	2	1	3	Need to be busy, inner urge to work hard
Precision /punctuality need to be learned	3	2	1	Precision/punctuality come naturally
Deviant & innovative ideas are tolerated	3	2	1	Suppression of innovative or deviant ideas
Motivation by achievement, esteem or belonging	3	2	1	Motivation by security, esteem or belonging
Number (Percentage of Total)	**15 (42%**	**13 (36%**	**8 (22%**	
Tight Time Orientation		**Neutral**		**Loose Time Orientation**
Only one activity at a time	1	1	4	Do more than one activity at a time
Keep appointments strictly; schedule in advance and do not run late	4		2	Appointments are approximate and subject to "giving time" to significant others
Relationships are generally subordinate to schedule	2	3	1	Schedules are generally subordinate to relationships
Time is sizeable and measurable	2	3	1	Time is cyclical and can be juggled
Number (Percentage of Total)	**9 (38%**	**7 (29%**	**8 (33%**	

(Developed for this study from data supplied in part 4 of the KUACAT and adapted from Hofstede 1991 & Trompenaars 1993)

2. RI 1.1: Implications of the cultural context on development of MLCs

The previous section indicated the case respondents' view of Kerala culture. In this section, data from Questions 26 and 27 of the interview protocol is presented.

Case A

Three themes were raised by respondents of Case A in relationship to the impact of Kerala culture on the development of MLCs, and these are:

Significance of Seniority	-*Cultural clash between being senior as opposed to the best/or competent* (getting the job) (A003) -*Very important for recognition and appearance – a rotation of headship could face problems* (A006) -*Although seniority may not put the best person in place at least it normally takes precedence over other considerations such as caste or religion or political affiliation; one example is that a person is waiting to be promoted to Professor and the announcement is being held up. If a new professor is appointed in the meantime she will lose the seniority - holding up of appointment is one way seniority can still be manipulated (but not in a direct or timely manner)* (A001).
Corruption (in Politics/ Trade Unions):	-*Trade unions are often against open recruitment (based on competencies) and protect their members for promotion* (A006) -*Politics - at present can influence decisions - it is discriminatory and would not result in fair allocation of training i.e. certain selected colleges and people would benefit based on political affiliation*(A001) -*A competency approach is more transparent and logical and less able to be influenced* (A003).
Relationships	-*Department needs to be like a family (*A003).

One of the respondents summed up Kerala culture and the lack of motivation to develop MLCs with the following:

> *In Kerala you do not need to be competitive; (you can) relax; (you are) safe in the job and get paid if work or don't work* (A001).

Case B

Two themes were raised by respondents of Case B in relationship to the impact of Kerala culture on the development of MLCs, and these are:

Significance of Seniority	-*Makes it not acceptable that younger merit based person have more responsible role* (B002).
Corruption (Politics/ Trade Unions):	-*Politicians are very influential; there is corruption because the system is not transparent* (B001). -*It is possible that a VC can pay money to get role then make money through corruption* (B002). -*It is critical to manage politics as in Kerala it has a strong cultural base brought about by the communist rules and development of socialistic thinking. I see both advantages and disadvantages; competencies are a good idea but unions may not accept it* (B007).

Case C

The major theme raised by respondents of Case C in relationship to the impact of Kerala culture on the development of MLCs was the **pace of change** and the **impact of globalisation**. The comments made by respondents indicated that there is a greater recognition for the need for MLCs and however this will take some time to happen.

- *In the next 10-15 years there will be tremendous change; younger generation more adaptable; open to change; we are in transition phase* (C003).
- *Keralites now coming into contact with other cultures - we are changing (for the good); aware of modern management practices; and can accept the modern things from other cultures* (C004).
- *The environment is becoming more competitive with globalisation - need for more leadership competencies* (C001).

Case D

The key theme raised by respondents of Case D in relation to the impact of Kerala culture on the development of MLCs was **Corruption**. The major concern expressed was that the development of MLCs would only work if introduced in a fair and transparent manner throughout the organisation as *corruption is on the rise and is now part of the culture; unless process can be fair and transparent (it) will not work* (D007).

Case E

Three themes were raised by respondents of Case E in relationship to the impact of Kerala culture on the development of MLCs, and these are:

Significance of Seniority	-*This is changing somewhat as younger generation are more questioning* (E001).
Corruption (Politics/ Trade Unions):	-*There is no prevailing atmosphere (because of unions) to create the motivation for change and without union support nothing will happen* (E007).
Relationships	-*The need for sensitivity and development of relationships are critical as competencies in Kerala; much more emphasis on deeper relationships than in the west (*E001) -*Being a Christian institution; role (of HoD) is a servant* (E005) -*It is harder being a woman HoD as most women find it harder telling men what to do and in being the boss* (E001).

Case F

Only one interviewee - the Director - responded to the issue of the impact of Kerala culture on the development of MLCs and that was to– *imitate the west but never leave our traditions* (F007).

3. RI 2: Organisational context of Kerala's HEIs

Firstly the data in regard to organisational challenges for each case are presented (Qus. 6 & 24) and then organisational culture case data is presented based on part 3 of the *KUACAT*. Next, results of each of the organisational context questions from the interview protocol are presented (Qus. 12-16 and 23-24[14]). Lastly, the data based on HR issues is presented for each case organisation (Qus 3, 11, 17, 18, 19 & 20*).*

Case A

Organisational challenges

Respondents identified five organisational challenges facing Case A. Two were external issues and three internal. Comments of respondents around these issues are presented below.

Federal Government	*Merit is not the sole criteria for selecting Lecturers- societal good (occurs) by reservation of teaching positions for scheduled castes and tribes; this means often very poor quality* (A006).
State Government	*-(Need to) manage the impact of trade unionism* (A007).
Student Culture	*-Students are becoming more demanding* (A001) *-Agitation by students is necessary so as to bring certain issues to the attention of the university ; e.g. one female student couldn't stay in college as she had no funding so she threw herself off the State Revenue Building and this action changed the situation- now all banks offer student loans* (A005).
Leadership	*-New ventures; projects and new departments and courses being developed* (A007) *-Managing change is the greatest challenge* (A007) *-Political interference in appointment of top level people; need to upgrade skills and talents* (A002) *-Political based appointments rather than based on skills* (A003).
Organisational Issues within HEI	*-At least 50% of teachers not capable; need to be given more training and find ways to 'use better people more'* (A005).

Organisational culture: Competing Values Framework (CVF)

HoDs were asked to complete section 3 of the *KUACAT* to determine the major culture/s present in the Case A. There is strong agreement on all aspects of Rational culture for Case A, with three of the four descriptions in both Hierarchal and Development culture also being supported. The main description within Hierarchical culture that received the highest disagreement was control and centralisation. Rational and Developmental cultures were rated, on average, as the two most dominant cultures. The results across the four cultures are presented in Table I 7.

[14] This question was not asked of all respondents due to time constraints

Table I 7: *Perceived organisational culture based on the CVF-Case A*

Competing Value Framework descriptor	Disagree	Neutral	Agree
	%	%	%
Group culture			**67**
Participation, open discussion		50	50
Empowerment of employees to act	17		83
Assessing employees concerns and ideas		50	50
Human relations, teamwork and cohesion		17	83
Development culture			**83**
Flexibility, decentralisation		17	83
Expansion growth and development			100
Innovation and change			100
Creative problem solving process		50	50
Hierarchal culture			**67**
Control, centralisation	50	33	17
Routine, formalisation and structure		33	67
Stability, continuity, order			100
Predictable performance outcomes		17	83
Rational culture			**83**
Task focus, accomplishment, goal achievement		17	83
Direction, objective setting, goal clarity		17	83
Efficiency, productivity	17		83
Outcome excellence, quality		17	83

(Developed for this study from Quinn and Spreitzer (1991) and part 3 of the KUACAT), N=6 per case

Organisational context: Ratings and descriptions

Respondents were asked to rate the organisational and management effectiveness from very poor to very good on a 5 point scale. They were also asked to determine if the work culture was suitable for the organisation.

Case A respondents rated the organisational effectiveness of their HEI as average (50%) to good (50%), while the management effectiveness rating were more widely spread ranging from very poor (33%) to average (50%) to very good (17%). Almost all respondents (83%) felt the work culture was not suitable. Table I 8 indicates the responses to these questions.

Table I 8: *Organisational and managerial effectiveness and work culture-Case A*

Rating	Organisational Effectiveness	Management Effectiveness
Very Poor		**XX**
Poor		
Average	**XXX**	**XXX**
Good	**XXX**	
Very Good		**X**

Rating	Work Culture
Suitable	
Not Suitable	**XXXX**
Don't Know	

(Developed for this study from questions 12, 15 & 16 of the interview protocol)

Respondents were asked to explain their rating and the following comments were made in relation to their ratings above:

Organisational Effectiveness (Qu. 12a &13**)**	- *Undue delay (in decision making*) (A002); -*Students often wait 10 months to get exam results* (A004) -*Rigid bureaucratic system* (A006) -*Remnant of British system, organisation has not effectively been overhauled-neither management nor administration nor modern management principles- (its) a fusion of everything* (A005).
Managerial Effectiveness (Qu. 16a)	-*Strong political Marxist influence; no disciplinary action taken if person is member of Marxist party* (A001) -*Monitoring of university projects not done properly* (A004) -*Accessibility and transparency needed* (A002).
Work Culture (Qu. 15a): **Not suitable**	*Security of job results in lax attitude to work* (A003) -*Accountability is low* (A001) -*Decreasing interest in work; more emphasis on family* (A003) -*Cannot remove unproductive or poorly performing people* (A005) -*Too relaxed; no motivation for increased productivity* (A006).
Suitable	-*Freedom for academic staff to manage time* (A004) -*(Staff are) generally hardworking* (A004).

Lastly some respondents commented on Qu24: Why are there no top universities in Kerala?

State government not paid attention to build up universities to high level (A004)
Lack of political will (A005)
Only pass course no honours courses as in Central universities (A005), and
Facilities much less; insufficient faculty (A006).

Human Resource issues

Having presented the data on the organisational context, further data is now presented on specific issues to do with the HR context. Responses from Case A interviews (Qu. 17) suggest that 83 percent of the HoDs felt the current HR function is average, with 17 percent rating it as poor. There is no HR department in the organisation structure of Case A. Five areas were identified by respondents as areas needed for improvement (Qu. 17a), and these were:

Training	-*Training needed to enhance one's and staff's capabilities* (A001).
HR Department Required	-*No HR department; need specialised HR staff* (A006).
Recruitment and Selection	-*Issues with quality of staff, need to recruit better staff* (A002).
Performance Appraisals	-*Performance appraisal improvements needed* (A001) -*Need self appraisal; VC does not appraise HoD performance (but needs to*) (A003) -*If a HoD is not performing well they will not be removed so no motivation to do well* (A004).
Remuneration	-*Remuneration needed for HoD role* (A003; A004) -*Not recognised for work you do financially or otherwise* (A001)

> *-No incentive to become HoD - no autonomy, headaches; financial accountability if Audit of books not correct then this can have a negative impact on the pension amount for retirement* (A006).

In addition a series of specific questions (Qus 3, 11, 18, 19 & 20) were asked to determine the current status of key components of HRM. Case A respondents indicated the following:

Preparation for role	No
Position description for HoD	No
Performance appraisal for HoDs	No
Remuneration for HoD role	No
Succession plan in place	No.

The issues of performance appraisals and remuneration were common responses to question 17 and to the specific questions above. Overall there are seven separate HRM issues identified for Case A.

Case B

Organisational challenges

Respondents identified four organisational challenges facing Case B, two external and two internal issues. These are:

State Government	-Chief Minister has announced Kerala as an Education destination; requires growth and development (B004).
Student Culture	*-Technology has changed the way knowledge is acquired by students; there is now a gulf between students and teachers as teachers are not the only source of information (and are not always up to date); this exemplifies the change in student culture and the conservative nature of the university… which is to learn from the lecturer* (B007) *-Drastic changes in student cultures -students now think of education as a commodity and social commitment is a casualty; this will lead to an academic culture of the privileged of the rich* (B002) *-Students want courses that give them easy cash making jobs and easy courses with minimum effort* (B004).
Leadership	*-The vision and mission of the university needs to emphasise improving the quality of education so as to compete with universities around the world* (B007) *-Not sufficient leadership* (B004)
Organisational Issues within HEIs	***Service levels*** *There is an acute awareness to compete internationally but the current level of service is not enough to do so* (B007).

Organisational culture: Competing Values Framework (CVF)

Turning to internal organisational factors, HoDs were asked to complete section 3 of the *KUACAT* to determine the major culture/s present in their organisation. The strongest culture identified for case B was Hierarchal culture. Other results were spread across the categories, with a clear

disagreement against Group culture in the organisation as well as a wide spread of results in the Development culture. The results across the four cultures are presented in Table I 9.

Table I 9: *Perceived organisational culture based on the CVF-Case B*

Competing Value Framework descriptor	Disagree	Neutral	Agree
	%	%	%
Group culture			**29**
Participation, open discussion	50	17	33
Empowerment of employees to act	100		
Assessing employees concerns and ideas	50	17	33
Human relations, teamwork and cohesion	50		50
Development culture			**50**
Flexibility, decentralisation	67		33
Expansion growth and development	17	17	66
Innovation and change	50		50
Creative problem solving process	50		50
Hierarchal culture			**79**
Control, centralisation		17	83
Routine, formalisation and structure	17		83
Stability, continuity, order		33	67
Predictable performance outcomes		17	83
Rational culture			**38**
Task focus, accomplishment, goal achievement	33.3	33.3	33.3
Direction, objective setting, goal clarity	50		50
Efficiency, productivity	66	17	17
Outcome excellence, quality	50		50

(Developed for this study from Quinn and Spreitzer (1991) and part 3 of the KUACAT), N=6 per case

Organisational context: Ratings and descriptions

Respondents were asked to rate the organisational and management effectiveness from very poor to very good on a 5 point scale. They were also asked to determine if the work culture was suitable for the organisation. Table I 10 indicates the responses to these questions.

Table I 10: *Organisational and managerial effectiveness and work culture-Case B*

Rating	Organisational Effectiveness	Management Effectiveness
Very poor	**XX**	
Poor		**X**
Average	**XXX**	**XXXX**
Good		
Very Good	**X**	**X**

Rating	Work Culture
Suitable	
Not Suitable	**XXXXX**
Don't Know	**X**

(Developed for this study from questions 12, 15 & 16 of the interview protocol)

HoD respondents from Case B had a wide range of ratings for organisational effectiveness of their HEI - from very poor (33%) to average (50%) to very good (17%). The management effectiveness

rating was also widely spread ranging from poor (17%) to very good (17%), with 66 percent rating it as average. Almost all respondents (83%) felt the work culture was not suitable.

Respondents were asked to explain their rating and the following comments were made in relation to their ratings above:

Organisational Effectiveness (Qu. 12a &13**)**	-*Need more Academics on syndicate and less political appointments* (B003; B006) -*Syndicate as it (currently) is, consists of politicians and third rate academics; elected in place of eminent scholars (B001); (they are) political appointees and have own agenda* (B004) -*Affiliating college system bad; need to be relieved of administrative headache of Colleges* (B004) -*Believe parents and students would view university as unsuccessful* (B006) -*PhD's are very poor quality; Blind leading the blind; very pathetic situation; give Rs 10,000* (A$300), *I will give PhD* (B001) -*Some professors in the department have been ready to be promoted to Professor since 1992 but no one has made it happen in administration; they will receive back pay but no interest* (B001).
Managerial Effectiveness (Qu. 16a)	-*Trade unions can play havoc by strikes, disrupting work* (B002) -*VC cannot control trade unions as they are linked to and controlled by political parties; cannot shield university from their influence* (B007) -*Poor quality of senior leadership; even a good VC cannot transform the system; need creative leadership* (B006).
Work Culture (Qu. 15a): **Not suitable**	- *Bureaucratic culture; culture of the clerk* (B002) -*Less commitment too work -come 5.00pm all the staff are gone* (B003) -*Ladies cannot work on research after 6.00pm as no security; no facility for food or drink so less value on researchers working longer* (B003) -*Very peculiar – (people) reach office to take rest* (B006) -*Work is not properly defined - no job descriptions, so no one knows what to do* (B006) -*Government jobs means you can take a rest; low motivation* (B001) -*Corruption is everywhere, even this department* (B001) -*Entire administration procedures based on mistrust (as a result of the ex-colonial system of rule by the British); so attitude that supervisor should not trust his inferior. In many places in the university there is a cold war between the academics and administration* (B006) -*Work culture has to change; need more transparency and participation; this has to be driven by political will to change; training managers alone will not help public sector institutions; a change of attitude is required and this has to come from the political process* (B002).

Lastly some respondents commented on Qu24: Why are there no top universities in Kerala?

Systemic issues to do with state universities; need to strengthen academic area and quality of research (B002*)*
More affiliated universities than in Northern India; focus has been on quantity not quality; research quality is not high (B003),
UGC and central government discriminate against Kerala as representation in central government is negligible (B004*)* and

Lack of political vision: no sense of excellence particularly (which is) shameful as (Kerala) most literate state (B006).

Human Resource issues

Responses from Case B interviews (Qu. 17) suggest that 67 percent of the HoDs felt the current HR function is average, with 33 percent rating it as very poor. There is no HR department in the organisation structure of Case B. Given their rating, respondents were asked (Qu. 17a), to identify the areas needed for improvement within the organisation and four areas identified were:

Training	-*Not adequate training; training needed to enhance one's and staff's capabilities* (B006) -*No orientation* (B005).
HR Department Required	- *No specialised HR staff; just routine activities done* (B001).
Preparation (Formal) for Role	–*No director of school given orientation or training* (B006).
Performance Appraisals	- *There should be a tool to assess personal attributes such as motivation and interview for selecting and appraising HoDs* (B002) -*No mechanism for weeding out poor performers; no praise for good performers* (B001).
Remuneration	-*Remuneration needed for HoD role* (A003; A004) -*Not recognised for work you do financially or otherwise* (A001) -*No incentive to become HoD- no autonomy, headaches; financial accountability if Audit of books not correct then this can have a negative impact on the pension amount for retirement* (A006).

In addition a series of specific questions (Qus 3, 11, 18, 19 & 20) were asked to determine the current status of key components of HRM. Case B respondents indicated the following:

Preparation for role	No
Position description for HoD	No
Performance appraisal for HoDs	No
Remuneration for HoD role	No
Succession plan in place	No.

The issues of performance appraisal and preparation for role were common responses to question 17 and to the specific questions above, thus there are seven overall issues identified for HRM

Case C

Organisational challenges

Case C, an organisation identified to become an IIT, was identified by respondents as facing a number of organisational issues, including upgrading of facilities, recruitment of key talent and need to increase productivity. The changing status of the organisation by federal direction was

noted by one respondent and the changing student culture was also identified by one respondent. These responses are presented below:

Federal Government	*Federal government decision to change institute from CUSAT to IIT* (C008)
Organisational Issues within HEI	***Facilities*** *Facilities need upgrading; CUSAT already gaining collaboration with foreign universities in France and the Netherlands (which will help with this)* (C008). ***Recruitment*** *Challenge will be to get best talent on staff* (C002). ***Increased productivity*** *A change of mentality (is needed) away from 9am -4pm and an increase in academic productivity* (C006).
Student Culture	*Increasing student agitation in the past two years; feels it is after introduction of B. Tech (i.e. undergraduate students); student culture not same; no concern for duties or responsibilities as graduate students are* (C008).

Organisational culture: Competing Values Framework (CVF)

HoDs were asked to complete section three of the *KUACAT* to determine the major culture/s present in the Case C. There is highest agreement with Rational culture. Development and Hierarchal culture were also supported but to a lesser degree. There is little agreement for the descriptions of Group culture. The results across the four cultures are presented in Table I 11.

Table I 11: *Perceived organisational culture based on the CVF-Case C*

Competing Value Framework descriptor	Disagree	Neutral	Agree
	%	%	%
Group culture			**31**
Participation, open discussion	50	25	25
Empowerment of employees to act	25	50	25
Assessing employees concerns and ideas		75	25
Human relations, teamwork and cohesion	25	25	50
Development culture			**69**
Flexibility, decentralisation		50	50
Expansion growth and development			100
Innovation and change			100
Creative problem solving process	25	50	25
Hierarchal culture			**69**
Control, centralisation		25	75
Routine, formalisation and structure		25	75
Stability, continuity, order		50	50
Predictable performance outcomes		25	75
Rational culture			**81**
Task focus, accomplishment, goal achievement		25	**75**
Direction, objective setting, goal clarity			100
Efficiency, productivity		50	50
Outcome excellence, quality			100

(Developed for this study from Quinn and Spreitzer (1991) and part 3 of the KUACAT), N=4 per case

Organisational context: Ratings and descriptions

Respondents were asked to rate the organisational and management effectiveness from very poor to very good on a 5 point scale. They were also asked to determine if the work culture was suitable for the organisation. Table I 12 indicates the responses to these questions.

Table I 12: *Organisational and managerial effectiveness and work culture-Case C*

Rating	Organisational Effectiveness	Management Effectiveness
Very Poor		
Poor		
Average	**XXXX**	**XX**
Good	**XX**	**XXX**
Very Good		**X**

Rating	Work Culture
Suitable	**XX**
Not Suitable	**XXX**
Don't Know	**X**

(Developed for this study from questions 12, 15 & 16 of the interview protocol)

Case C rated the organisational effectiveness of their HEI as average (67%) to good (33%), whilst the management effectiveness rating was more spread ranging from average (33%) to good (50%) to very good (17%). Work culture within Case C was not clearly delineated by the HoDs responses, with a mixture between suitable (50%) and not suitable (33%). Respondents were asked to explain their rating and the following comments were made in relation to these ratings:

Organisational Effectiveness (Qu. 12a &13**)**
-*Administration has the upper hand rather than academic leadership this i changing and should change in next 1-2 years* (C006)
-*No planning of departments so duplications in courses* (C005).

Managerial Effectiveness (Qu. 16a)
-*Politically orientated decision makers who have not been chosen by merit.. there is a lack of management here* (C005).

Work Culture (Qu. 15a):
Not suitable
-*Average, designed for high employment not necessarily for motivated staff* (i reference to administration staff) (C005)
-*A few good people run the place* (at) *three levels here:1-don't care; 2-well I an at work may as well work; 3-very committed people who want to change* (C002)
-*People are generally lax, this may be because there are more administrativ staff than needed and not enough work so fosters feeling that they can arrive lat and still complete work on desk; generally not true of academic staff who tend t generate own work* (C003)
-*Work culture is pathetic; as a syndicate member instead of changing system I am becoming socialised by them. I am the youngest and most vibrant member o syndicate but now I feel 'why bother'* (C008).

Suitable
-*Academic has very good work culture; very dynamic; e.g. work late and o weekends; non academic some okay; some slow. Definitely needs to change th Registrar and VC are managing change* (C006).

The one respondent who felt the work culture was suitable, made so with a proviso that the academic work culture was suitable however overall felt there was still a need for improvement.

Human Resource issues

Turning to HR issues, responses from HoD interviews (Qu17) suggest that 67 percent (4 out of 6) of the HoDs felt the current HR function is average, with two respondents rating it as poor. There is no HR department in the organisation structure of Case C. Five areas were identified by respondents as areas needed for improvement (Qu. 17a), and these were:

Training	- *Need more leadership and management training; very beneficial to have* (C004).
Recruitment and Selection	-*Selection of HoD should be made on merit* (C002; C008).
Performance Appraisals	- *Need to give an 'honour' to those who make good achievements; good and poor HoDs are equally ignored* (C002) -*No body bothers about how well you are doing* (C001).
Remuneration	-*Remuneration needed for HoD role* (C008) -*Do the job as good additional qualification for your career and is good experience/challenge* (C002).
Rotation of HoD	-*Rotation of HoD is both good and bad; able to get long time "stale" professors out of role; but sometimes people without the right skills are rotated into the HoD role* (C008).

In addition a series of specific questions (Qus 3, 11, 18, 19 & 20) were asked to determine the current status of key components of HRM. Case C respondents indicated the following:

Preparation for role	No
Position description for HoD	No
Performance appraisal for HoDs	No
Remuneration for HoD role	No
Succession plan in place	No.

The issues of lack of performance appraisals and remuneration were common responses to question 17 and to the specific questions above, thus there are eight overall issues identified for HRM for Case C.

Case D

Organisational challenges

Respondents identified three organisational challenges facing Case D. The key issue for this organisation was the decision by the UGC to be implemented by state government to change the status of the college. Other issues were student culture and recruitment. Selected comments in regard to these issues are presented below:

State Government	-*Changes in status to be either an autonomous college or a deemed university* (D001) -*The UGC has recommended that UC be granted the status of autonomous college, but the Government of Kerala has yet to ratify this. If this is the case then as an autonomous college it has academic autonomy but not administrative autonomy* (D006) -*Another consideration is for the UC to become a Deemed university and this is also under consideration. If the university was to become a deemed university then it would have both academic and administrative autonomy* (D007) -*If UC becomes deemed university challenges are to raise funds and transfer of responsibility to the UC administration* (D007) -*Autonomy will have a significant impact on the college and the responsibilities of HoDs* (D003).
Student Culture	-*Students are very politically active and will remain so* (D003) -*Parents perceive UC to have student agitation so if they are able, they will send their child to a private college* (D005).
Organisational Issues within HEI	***Recruitment*** *Another challenge is the ability to keep staff because at present staff can move via intercollegiate transfer to any college - staff may not want stay when UC is an autonomous college* (D007).

Organisational culture: Competing Values Framework (CVF)

HoDs were asked to complete section three of the *KUACAT* to determine the major culture/s present in Case D. Case D respondents had strong agreement for both Rational culture, with Group and Development culture having the next highest agreement levels. Hierarchal culture was rated the least with control and centralisation the description that received the most disagreement. The results across the four cultures are presented in Table I 13.

Table I 13: *Perceived organisational culture based on the CVF-Case D*

Competing Value Framework descriptor	Disagree	Neutral	Agree
	%	%	%
Group culture			**75**
Participation, open discussion		17	83
Empowerment of employees to act	17	33	50
Assessing employees concerns and ideas	17		83
Human relations, teamwork and cohesion		17	83
Development culture			**74**
Flexibility, decentralisation		33	67
Expansion growth and development	17	17	64
Innovation and change	17		83
Creative problem solving process	17		83
Hierarchal culture			**54**
Control, centralisation	33.3	33.3	33.3
Routine, formalisation and structure	17	33	50
Stability, continuity, order		17	83
Predictable performance outcomes		50	50
Rational culture			**83**
Task focus, accomplishment, goal achievement		17	83
Direction, objective setting, goal clarity		17	83
Efficiency, productivity		17	83
Outcome excellence, quality		17	83

(Developed for this study from Quinn and Spreitzer (1991) and part 3of the KUACAT), N=6 per case

Organisational context: Ratings and descriptions

Respondents were asked to rate the organisational and management effectiveness from very poor to very good on a 5 point scale. They were also asked to determine if the work culture was suitable for the organisation. Case D rated the organisational effectiveness of their HEI as average (50%) to good (50%), whilst the management effectiveness rating was average (67%) to good (33%). The majority of respondents rated the work culture as not suitable (67%). Table I 14 indicates the responses to these of these questions.

Table I 14: *Organisational and managerial effectiveness and work culture-Case D*

Rating	Orginisational Effectiveness	Management Effectiveness
Very Poor		
Poor		
Average	**XXXX**	**XXXX**
Good	**XXX**	**XX**
Very Good		

Rating	Work Culture
Suitable	**X**
Not Suitable	**XXXX**
Don't Know	**X**

(Developed for this study from questions 12, 15 & 16 of the interview protocol)

Respondents were asked to explain their rating and the following comments were made in relation to their ratings above:

Organisational Effectiveness (Qu. 12a &13**)**

-*Lack of coordination between academic and non academic streams* (D006)
-*Too much red tapism* (D002; D003)
-*UC is a potential centre for excellence but does not have a good admission procedure to gain quality students; loss of days because of strike means curriculum cannot be covered* (D001)
-*UC was better in earlier days now too much political interference; also need better facilities* (D004)
- *Quotations for equipment* (as an example*): Because of tender process; can be forced to sign off on lowest tender stating it is market price when it is not because if don't sign you believe it to be market price you will not get piece of equipment so for good of department you sign when it is not true; providers put up costs in bid because often do not get paid for months and months and their money gets held up and its a hassle to try and get paid* (D001)
Purchase of library books (as an example*): As soon as funds approved; book list given; administration got three tenders; took lowest price; then in January (funds run out in March) book supplier said could not supply books only other ones (useless) ;had no option but to accept these book or get none; nexus between book suppliers and administration (equals) corruption. Next got permission from Principal to use different book seller; then told administration had 'lost' permission letter and list and had to start the process again; no action taken on lost list - but if I lost a students exam paper I would be held accountable* (D003)
-*Reported to interviewee that HoD of other department was asked by administration to pay them money to realise equipment* (D003).

Managerial Effectiveness (Qu. 16a)

-*Difficult position to manage teachers' administration and students; lots of stress; little organisational help* (D006)
-*New Principal is good at communication; very approachable and communicates a vision for the college* (D002)[15].

Work Culture (Qu. 15a):

Not suitable

-*Work ethic in Government is abominable; some conscientiousness; Twenty percent(of staff) are in college who don't have any work ethic* (D002)
-*Work ethic needs to be redefined; work ethic is still that of 50-60 years ago; needs to be in tune with modern times* (D003)
-*No accountability: people believe they have a right to shirk work and take pay; people in department belong to strong political affiliation and know they are protected; frustrating for HoDs. Students complain about classes being cancelled; but HoD cannot do anything- it becomes demotivating; HoD can take matter to Principal but no Principal (in state) will act* (D003).

Human Resource issues

Responses from Case D interviewees (Qu17) suggest that 67 percent of the HoDs felt the current HR function is average, with 33 percent rating it as poor. There is no HR department in the organisation structure of Case D. Respondents were asked, given their rating, to identify the areas needed for improvement (Qu17a) and five areas were identified. These were:

Training -*Need orientation (programme)(*D004; D005).

[15] (Researchers note: This Principal retired from the organisation during the data collection period of 2006)

HR Processes	- *Need for job descriptions* (D002).
Promotion	- *-Need more screening for promotion not just making it automatic* (D004).
Performance Appraisals	-*Performance Appraisal improvements needed* (D002; D007) -*Not available; no way to assess difference between poor performer and good performer except opinions being voiced* (D003) -*Performance appraisal tool should include peer, student and principal evaluation* (D007).
Remuneration	- *Remuneration needed for HoD role* (D002).

In addition a series of specific questions (Qus 3, 11, 18, 19 & 20) were asked to determine the current status of key components of HRM. Case E respondents indicated the following:

Preparation for role	No
Position description for HoD	No
Performance appraisal for HoDs	No
Remuneration for HoD role	No
Succession plan in place	No.

The issues of lack of position description, performance appraisals and remuneration were common responses to question 17 and to the specific questions above, thus there are seven overall issues identified for HRM for Case D.

Case E

Organisational challenges

Respondents identified four organisational challenges. Within this, respondents commented on organisational issues of recruitment and work culture as well as student culture and quality, as listed below:

State Government	-*Academic autonomy status has been granted by UGC but Kerala Government is not moving on it* (E004).
Student Culture	-*Excessive student politics* (E007) -*Deterioration in relationship between students and teachers; students are becoming less confident; because they are aware that in Kerala there is an infantile state of education compared to the west* (E005).
Organisational Issues within HEI	***Recruitment*** -*Insufficient academic staff* (E001) -*In the last eight years there has been a ban on recruitment to new vacancies to allow for a natural decline in teaching staff as a result of the plus two years (undergraduate) being transferred from colleges to high schools; this occurred without any downsizing of staff; now the ban has been lifted* (E005).
Quality Issue	-*(Need to) ensure and sustain quality in education* (E007).

Organisational culture: Competing Values Framework (CVF)

HoDs were asked to complete section three of the *KUACAT* to determine the major culture/s present. Respondents in Case E had strong agreement with three of the four cultures- Group, Development and Rational. Hierarchal culture was supported the least, though still with strong agreement, except for *control and centralisation* which had the strongest disagreement. The results across the four cultures are presented in Table I 15.

Table I 15: *Perceived organisational culture based on the CVF-Case E*

Competing Value Framework descriptor	Disagree	Neutral	Agree
	%	%	%
Group culture			**88**
Participation, open discussion			100
Empowerment of employees to act		33	67
Assessing employees concerns and ideas			100
Human relations, teamwork and cohesion		17	83
Development culture			**87**
Flexibility, decentralisation		17	83
Expansion growth and development		17	83
Innovation and change		17	83
Creative problem solving process			100
Hierarchal culture			**67**
Control, centralisation	33.3	33.3	33.3
Routine, formalisation and structure		33	67
Stability, continuity, order			100
Predictable performance outcomes		33	67
Rational culture			**87**
Task focus, accomplishment, goal achievement		17	83
Direction, objective setting, goal clarity		17	83
Efficiency, productivity			100
Outcome excellence, quality		17	83

(Developed for this study from Quinn and Spreitzer (1991) and part 3 of the KUACAT), N=6 per case

Organisational context: Ratings and descriptions

Respondents were asked to rate the organisational and management effectiveness from very poor to very good on a 5 point scale. They were also asked to determine if the work culture was suitable for the organisation. Table I 16 indicates the responses to these of these questions.

Case E respondents rated the organisational effectiveness of their HEI as average (17%) to good (33%) to very good (50%), whilst the management effectiveness rating was more consistently rated as good (67%). All respondents felt that the work culture was appropriate for their organisation.

Table I 16: *Organisational and managerial effectiveness and work culture-Case E*

Rating	Organisational Effectiveness	Management Effectiveness
Very Poor		
Poor		
Average	**X**	**X**
Good	**XX**	**XXXX**
Very Good	**XXX**	**X**

Rating	Work Culture
Suitable	**XXXXXX**
Not Suitable	
Don't Know	

(Developed for this study from questions 12, 15 & 16 of the interview protocol)

Respondents were asked to explain their rating and the following comments were made:

Organisational Effectiveness (Qu. 12a &13**)**
-*Unnecessary delay in decision making and execution* (E007)
-*Only very small problems and these are generally resolved by discussion* (E005).

Managerial Effectiveness (Qu. 16a)
-*Improve motivation; and work to goals and objectives; NACC accreditation has identified areas for improvement but nothing has happened* (E003)
-*(Management are) giving facilities and positive work culture (E004)*
-*Good relationship between college management and Principal; Principal comes to HoDs ' i.e. walks the talk' and is understanding* (E005)
-*The church has learnt over decades how to manage well* (E001).

Work Culture (Qu. 15a): **Suitable**
Comparatively (to other organisations) work culture is good; most come on time and are self motivated (E005)
-*Staff are responsible; effective and care about students; best teachers are selected to work in college. (There is a) strong recruitment panel of five (drawn) from management, principal and government representatives* (E003)
-*Work culture is good; staff are committed and there are good relationships* (E004)
-*Dedicated and hardworking staff; most are willing to help students with both academic and non academic problems* (E005)
-*Very good - not like other institutes in Kerala - have a lot of freedom; can work late* (E001).

Human Resource issues

Whilst there is no current HR department in the organisation structure, Case E is considering creating one. Respondents (to Qu17) rated the current HR function as average (50%) to good (33%) to poor (17%). The Principal was one of the respondents to rate the HR function as poor. Respondents were asked to identify the areas needed for improvement (Qu. 17a), and the five areas identified were:

Training - *Need for motivation/ motivational training; attitudinal mindset needs changing* (E003; E007).

HR Department Required	- *Not sufficient analysing of HR (which is needed) to make better use of resources* (E005) -*Plan to introduce a HR department in near future* (E007).
Promotion	-*Efficiency and talent should be given more importance in promotion* (E007).
Performance Appraisals	- *Need for appraisal* (E003).
Remuneration	- *Increase salaries (to attract better staff)* (E004).

In addition a series of specific questions (Qus 3, 11, 18, 19 & 20) were asked to determine the current status of key components of HRM. Case E respondents indicated the following:

Preparation for role	No
Position description for HoD	No
Performance appraisal for HoDs	No
Remuneration for HoD role	No
Succession plan in place	No.

The issue of lack of performance appraisals and remuneration were common responses to question 17 and to the specific questions above, thus there are eight overall issues identified for HRM for Case E.

Case F

Organisational challenges

Respondents identified three organisational challenges facing Case F, one external and two internal, and these are:

Federal Government	-*NITs are developing colleges and the federal government is trying to strengthen these to become first rank like the IITs* (F007).
Organisational Issues within HEI	***Recruitment*** -*Lack of experienced staff and also decrease in staff numbers* (F002). ***Work culture*** -*Time scaled promotion is not advisable- everyone sits back and they are not motivated to work; need a system whereby points are earned for research publications, supervising students etc and then when reach points level will get promoted* (F001).
Quality Issue	-*Need for higher quality and more research and development, rather than just a focus on teaching* (F007) -*Institute faces serious competition from other institutes for the best students; currently ranked 14 out of the top 1000 engineering colleges but needs to keep this position or increase it* (F004).

Organisational culture: Competing Values Framework (CVF)

HoDs were asked to complete section three of the *KUACAT* to determine the major culture/s present in Case F. The results across the four cultures are presented in Table I 17. Respondents

from Case F have general agreement that all four cultures are prevalent in their organisation with strongest support for Rational focus, followed by Hierarchal and equal support for Group and Development cultures.

Table I 17: *Perceived organisational culture based on the CVF-Case F*

Competing Value Framework descriptor	Disagree	Neutral	Agree
	%	%	%
Group culture			**54**
Participation, open discussion	17	17	67
Empowerment of employees to act	33	17	50
Assessing employees concerns and ideas	17	33	50
Human relations, teamwork and cohesion		50	50
Development culture			**54**
Flexibility, decentralisation	50		50
Expansion growth and development			100
Innovation and change	33	50	17
Creative problem solving process		50	50
Hierarchal culture			**63**
Control, centralisation	50		50
Routine, formalisation and structure		33	67
Stability, continuity, order	17	17	66
Predictable performance outcomes		33	67
Rational culture			**83**
Task focus, accomplishment, goal achievement		33	67
Direction, objective setting, goal clarity		17	83
Efficiency, productivity		17	83
Outcome excellence, quality			100

(Developed for this study from Quinn and Spreitzer (1991) and part 3 of the KUACAT), N=6 per case

Organisational context: Ratings and descriptions

Respondents were asked to rate the organisational and management effectiveness from very poor to very good on a 5 point scale. They were also asked to determine if the work culture was suitable for the organisation. Table I 18 indicates the responses to these of these questions.

Table I 18: *Organisational and managerial effectiveness and work culture-Case F*

Rating	Organisational Effectiveness	Management Effectiveness
Very Poor		
Poor		
Average	**XXX**	**XXXX**
Good	**XX**	**X**
Very Good	**X**	**X**

Rating	Work Culture
Suitable	**XXXXXX**
Not Suitable	
Don't Know	

(Developed for this study from questions 12, 15 & 16 of the interview protocol)

For Case F, HoDs highest rating for both the organisational effectiveness of their HEI and the management effectiveness rating was average (50% and 67% respectively) with responses also in the good and very good categories. Work culture was rated as suitable by 100 percent of the respondents. Respondents were asked to explain their rating and the following comments were made:

Organisational Effectiveness (Qu. 12a &13**)**	-*Since becoming a deemed college now have academic freedom and infrastructure has changed but mindset has not- little vision or motivation; too relaxed* (F001) -*Too centralised; HoDs not included in decision making; more delegation needed* (F002) -*Although there has been a degree of dynamism since becoming a NIT this has now slowed down as the organisation grapples with issues which had not previously been addressed* (F006) -*Teachers have many side businesses and spend time on them- its illegal but it's done; everyone knows* (F004).
Managerial Effectiveness (Qu. 16a)	-*Transparent and good communication* (F003) -*Management is largely influenced and it depends on who is the Director; centralised control; need to delegate more and build trust with HoDs* (F004) -*More vision and planning needed* (F002; F004) -*Dynamism has increased since move to become an NIT* (F005) -*Clear vision some ideas are good others not okay; decisions need to be more rational e.g. not flat across the board budget cuts. Need more delegation and empowerment* (F006).
Work Culture (Qu. 15a): **Suitable**	-*Work culture varies; about 40% totally committed 30 percent middle and other 30 percent poor* (F003).

Although each of the respondents nominated an appropriate work culture, only one respondent expanded on this and his response is not entirely supportive of a suitable work culture.

Lastly one respondent commented on Qu24: Why are there no top universities in Kerala?

In state run universities (as opposed to Central) lots of political interference; whereas at NIT there is not direct political interferences and when the central government does intervene it is true for all institutes all over India (F004

Human Resource issues

Responses from Case F interviews (Qu17) suggest that 50 percent of the HoDs who responded felt the current HR function is average with the other 50 percent rating it as poor. There is no HR department in the organisation structure of Case F. Respondents were asked (Qu. 17a), given their rating, to identify the areas needed for improvement within the organisation and the four key areas identified were:

Training	-*Attitudinal mindset needs changing (through training programmes)* (F001).
HoD workload	- *HoD workload too high; needs revision* (F002).

Promotion -*Seniority based promotion is poor; need to base (it) on merit* (F001; F004).

Remuneration - *Remuneration needed for HoD role* (F002)

In addition a series of specific questions (Qus 3, 11, 18, 19 & 20) were asked to determine the current status of key components of HRM. Case F respondents indicated the following:

Preparation for role	No
Position description for HoD	No
Performance appraisal for HoDs	No
Remuneration for HoD role	No
Succession plan in place	No.

The issue of lack of HR remuneration was a common response to question 17 and to the specific questions above, thus there are eight overall issues identified for HRM for Case F.

4. RI 2.1 Implications of the organisational context

The previous section presented the data from this study on the organisational context of the HEIs included in this study. In this section, data in regard to identifying obstacles to the development of MLCs is presented (Qu 21) as well as data from the Followers focus group (FGF).

Case A

Six themes were delineated from the responses of the interviewees and these were:

Union involvement -*There is no prevailing atmosphere to create the motivation for change* (A006).

Legislation/ State government -*Seniority is key criteria for promotion to HoD; it is in the statute of the university and would take legislation to change this* (A002).

Financial -*Lack of funds for training on competencies* (A004).

Political interference -*Politics - at present can influence decisions - it is discriminatory and would not result in fair allocation of training i.e. certain selected colleges and people would benefit based on political affiliation* (A001; A003).

Work culture -*Unwillingness to change* (A001)
-*Not enough motivation or interest in changing* (A003*)*

Vision/Ability of decision makers -*Mental mindset of decision makers* (not able to consider the issue of competencies) (A001)
-*If the initiative need to come from administration then there will be difficulties because of financial constraints or getting an official decision* (A004).

Case B

Respondents in Case B identified three major areas that may impact on the development of MLCs for HoDs:

Legislation/ State government -*Seniority is key criteria for promotion to HoD according to statutes* (B002).

Political Interference	*-A competency approach is more transparent and logical and less able to be influenced* (B002).
Vision/Ability of decision makers	*-No awareness of need for competencies* (B004) *-University managed by people who do not know how to manage* (B001) *-Directive need to come from university* (B003) *-Even good VC cannot transform system; need people with determination and creative leadership* (B006).

Case C

The three themes delineated from the responses of the interviewees:

Legislation/ State government	*-Has to be a government thrust for anything to occur* (C002).
Work culture	*-The work culture is an obstacle to a competency approach* (C008).
Vision/Ability of decision makers	*-Mental mindset of decision makers* (C002).

Case D

The four themes delineated from the responses of the interviewees:

Legislation/ State government	*-Has to have a government push for this* (D003).
Financial	*-Lack of funds for training on competencies* (D002; D007).
Political Interference	*-It would not be a corruption free process unless transparency can be assured* (D007).
Work culture	*-Work ethic needs to be redefined; work ethic is still that of 50-60 years ago; needs to be in tune with modern times* (D003).

Case E

The themes raised by respondents of Case E in relationship to the impact of Kerala culture on the development of MLCs are:

Union involvement	*-Without union support nothing will happen* (E007).
Financial	*-Lack of funds for training on competencies* (E004).
Work culture	*-Not enough motivation or interest in changing* (E004; E005).
Vision/Ability of decision makers	*-Question of priorities - time; management are more concerned with routine issues; no collective ability to focus attention on need* (E003).

Case F

The themes raised by respondents of Case F in relationship to the impact of Kerala culture on the development of MLCs are:

Financial	*-No budget for competencies* (development) (F002).
Legislation/ State government	*-Government does not see a strong role for merit; has the attitude 'why spend on quality; why bother?'* (F004).

Vision/Ability of decision makers *-Awareness and initiative needed from management* (F006).
Good vision and attitude to professional development needed at NITC (F001).

This section has identified the key obstacles to the development of a competencies approach for HoDs in the case organisations. The competencies identified by respondents as necessary for the function of HoDs in Kerala HEIs is presented in the next section.

5. RI 3. MLCs required by HoDs

The data presented in this section comes from interview responses. The per case results from the issues of changes in role or responsibility of HoDs (Qus 5 and 8), and the perceived problems of the role (Qu 7) are firstly presented. Next, the MLCs which resulted from the data collected in response to the questions on the topics: (a) management and leadership role (Qu 1), (b) skills needed for a good HoD (Qu 4), and, (c) competencies required of a HoD (Qu 9) are presented.[16] The responses to the questions had to be reduced and synthesised to determine the MLCs. Lastly, a per case description of the identified competencies is described.

Changes in HoD role, responsibility, and perceived problems

Case A

Respondents were asked to identify the changes in role or responsibility of HoDs, along with any perceived problems. In Case A the following issues emerged:

Political influence *-Lots of prejudice and harassment in the form of delays or lost papers etc, perhaps because of personal animosity or jealousy or because you belong to another political party* (A001).

Motivation *-No incentive to become HoD- no autonomy, headaches; financial accountability if audit of books not correct then this can have a negative impact on the pension amount for retirement* (A006)
-Attitude of HoDs has to change; mindset is not appropriate; tendency in Kerala, once employed will sit; get automatic promotion (because of seniority) will become lazy and negligent (A007)
-Handful of HoDs do well; others simply sit in chair and sign papers (A007)
-What is lacking is communication; not getting up and going to subordinates; expect people to come to them - unlike in west if you want something solved you go to a colleague's desk and talk to them - this does not happen here (A007).

Case B

Respondents were asked to identify the changes in role or responsibility of HoDs, along with any perceived problems. In Case B the following issues emerged:

[16] Respondents did not identify any competencies for Qu. 10 *what competencies are currently missing?*

Need for improved/different managerial leadership skills	*-With globalisation and the predicted entry of foreign universities, there will be a need for new courses to attract students and HoDs will need a marketing orientation to sell their courses* (B004).
Need to balance demands	*-Challenge is managing between the stability of the organisation and administration and the dynamism of an academic environment* (B007).
Need for organisational change	*Need to streamline administration procedures by reducing bureaucracy and (by) computerisation (which will) make room for academic and people management role* (B004).
Lack of power of the role	*The director (of the school) has no powers; can be described as a postman (delivering paperwork); maximum authority to spend is RS500* (B001).
Political influence	*Every HoD may receive continual harassment by political representatives* (B007).

Case C

The key issue to emerge in regard to the changes in role, responsibility and perceived problems of HoDs for Case C was **organisational change** as the HEI is has been identified to move in status from a state university to a federal IIT:

> *No doubt there will be a change with the move to an IIT; increased administration responsibility; more time on infrastructure changes; structuring new course and improving existing courses* (C002; C003).

The other key problem area to emerge for Case C was the **rotation of the HoD** on a three yearly basis:

> *Since 2000 CUSAT has had a policy of rotating Head between readers and professors on a 3 yearly rotation to allow more junior staff into the management cadre; that is a good reason but the rotation generally does not work as it takes a year to get into the role one year to achieve and then thinking about leaving in 3rd year; (this) fosters a climate of non risk takers* (C008).

Case D

One of the key issues to emerge in discussing the changes in role or responsibility of HoDs, or perceived problems, was the **planned development of Case D into an autonomous college and centre for excellence:**

> *-Anticipate some changes in role as there will be more responsibilities e.g. curriculum and examination setting if college becomes autonomous* (D002)
> *-Also an increase in power of HoD with autonomy (of college)* (D003)
> *-Currently HoD just does things that are already planned - implementation role but becoming autonomous will mean that planning functions will be more enhanced* (D003).

The other issue to emerge was the growing awareness of **need for improved/different managerial leadership skills.**

> *New generation of HoDs are more aware of management and need to apply modern management* (D005).

A major problem area for HoDs in Case D is **Political interference**:

-Rule is that students must attend class 70% of time to sit examination; one student came who had not sat in classes for three years; so HoD refused to sign form; student went to Principal and as (student was) from strong political party; was granted permission… makes you lose your morale -why should I bother because no one else does (D003).

-Political unions can come and pressure HoD to withdraw a complaint made against a staff member if for example they are absent too many times or not performing in their job; *difficult to resist as they will make a stir and cause government intervention* (D001).

Case E

Respondents in Case E did not identify any key changes in role or responsibilities of the HoD, or perceived problems, over the next 5 year period.

Case F

In Case F the following issues emerged:

Need to balance demands	*-More challenges than expected in becoming a HoD as there are many conflicting requirements* (F004) *-Balancing workload between students, research and (role of) HoD is difficult* (F002; F006).
Need for organisational change	*-Need for more financial delegation at present; can only spend Rs5000* [approximately A$160] (F001) *-More decentralisation of authority (needed); as institute grows this should become more so* (F007).
Management relationships	*-More delegation and trust required from the management* (F004).

Cases A – F: Data on identified competencies

Respondents (HoDs) were asked three questions (Qu1, 4 and 9) designed to elicit and to triangulate their views on the key MLCs required for HoDs. Some respondents identified more competencies than others (and this is reflected in the varying number of responses in Table I19 below). As these were spontaneous responses to oral questions the interviewees used different terminology to describe the MLCs. Pattern analysis was conducted and in doing this analysis, the Researcher needed to make determinations as to which descriptions fitted into which category. Where this is the case, it is indicated in the table below as a descriptor of the competency. The final allocation of descriptions into categories is thus somewhat subjective and as noted earlier, is a feature of competency identification (refer section 3.6.1.4).

Superiors were also asked at interview for their views on MLCs required by the HoDs. This yielded fewer responses (18 competencies were identified across the whole group) than the HoD interviews, predominantly due to the limited time superiors were able to give to the interview. Lastly this data was presented to followers through a focus group process - the FGF- and this data is presented in section 8 of this Appendix.

For succinctness of data display, Tables I 19 and I 20 will present the individual cases against each identified competency; HoDs in Table I 19 and Superiors in Table I 20. A per case description relating to this table is outlined below.

Table I 19: *Identified competencies and number of responses from HoDs- Cases A to F*

No	Identified Competency	A	B	C	D	E	F
		No. of responses per cas					
C1	**Academic (role):** as head of subject, research role; eminent scholar	6	3	1	2	2	
C2	**Administration** e.g. following routine procedures; exercising authority t approve and request items and authority given to HoD by organisation	4	7	3	3	1	2
C3	**Change management**	4					
C4	**Communication skills** (including **e**ffective listening; giving and receivin feedback)	1	2		6	2	2
C5	**Co-ordination role**		1	1	4	4	
C6	**Decision making (**including participative decision making; autonomous role r decisions)	6	1	3			
C7	**Developing and communicating a vision**	3	1	1			2
C8	**Developing people:** development mentality to develop both administration an academic staff	2	2	3	3	2	2
C9	**Innovation approach** (including initiative and proposal development)	5	3	1	1		1
C1	**Integrity/ Ethics**			2	4	3	1
C1	**Interpersonal skills** (including consultation, facilitation, demonstrating respect counselling, relationship building and maintenance)	8	10	2	4	1	2
C1	**Figurehead** (including role model, head of family)	4	9	6	5	4	1
C1	**Liaison and networking**	2			1		1
C1	**Managing resources:** information, finances, infrastructure and multipl programmes.	3	2	2	1		1
C1	**Monitoring and control:** e.g. classes, staff, workloads, productivity	2	1	1	6		
C1	**Motivating others (**including developing a positive work culture)	4	2	2	3		1
C1	**Negotiation/Influencing (**including diplomacy)	2	6	4	2	2	5
C1	**Organising:** e.g. seminars, conferences, debates, workload	1	1	1	3	2	1
C1	**Planning and objective setting**	6	3		3		1
C2	**Problem solving (**including crisis management)	2	4	2	4	1	1
C2	**Quality improvement and best practice**	4					
C2	**Stakeholder focus** (including students and political groups)	2	3	1			
C2	**Teamwork (**including being a team player)	3	1	3			
C2	**Time management**	2	3	1	1		

(Source: Developed for this study from responses to Qus 1, 4 & 9 of the interview protocol), N=6 per case

Table I 20: *Identified competencies for HoDs by Superiors-Cases A to F N=6 (VC/PVC, Principal or Director)*

No.	Identified Competency	A	B	C	D	E	F	Ran / Frequenc	Spread
C1	**Academic role** as head of subject, research role; eminen scholar	1	2					**6** / 3	2
C2	**Administration** e.g. following routine procedures exercising authority to approve and request items an authority given to HoD by organisation		2			2		**4** / 4	2
C3	**Change management**								
C4	**Communication skills** (including **e**ffective listening giving and receiving feedback)	1	1					**8** / 2	2
C5	**Co-ordination role**	2	3					**3** / 5	2
C6	**Decision making (**including participative decisio making; autonomous role re decisions)	1	1					**8** / 2	2
C7	**Developing and communicating a vision**		1					**13** / 1	1
C8	**Developing people:** development mentality to develo both administration and academic staff			1				**13** / 1	1
C9	**Innovation approach** (including initiative and proposa development)					2	2	**4** / 4	2
C10	**Integrity/ Ethics**			1	1			**8** / 2	2
C11	**Interpersonal skills** (including consultation, facilitation demonstrating respect, counselling, relationship buildin and maintenance)		3	2		2		**2** / 7	3
C12	**Figurehead** (including role model, head of family)	3		3	2		2	**1** / 10	4
C13	**Liaison and networking**							**13** / 1	
C14	**Managing resources:** information, finances, infrastructur and multiple programmes.								
C15	**Monitoring and control:** e.g. classes, staff, workloads productivity,								
C16	**Motivating others (**including developing a positive wor culture)		1			1		**8** / 2	2
C17	**Negotiation/Influencing** (including diplomacy)	2	1					**6** / 3	1
C18	**Organising:** e.g. seminars, conferences, debates		1					**13** / 1	1
C19	**Planning and objective setting**								
C20	**Problem solving (**including crisis management)			2				**8** / 2	1
C21	**Quality improvement and best practice**								
C22	**Stakeholder focus** (including students and politica groups)		1					**13** / 1	1
C23	**Teamwork (**including being a team player)					1		**13** / 1	
C24	**Time management**								

(Source: Developed for this study from responses to Qus 1, 4 & 9 of the interview protocol)

Case A

Twenty two competencies were identified by HoD respondents in Case A (see Table I19). Five competencies were identified with the highest responses and these were: *C1-academic role, C6-decision making, C9-innovation, C11-interpersonal skills,* and *C19-planning and objective setting*. The next highest competencies were: *C2-administration, C3-change management, C12-figurehead, C16-motivating others,* and *C21-quality improvement and best practice*. Superiors in Case A identified six competencies: *C1-academic role, C4-communication, C6-decision making, C9-innovation, C12–figurehead,* and *C17-negotiation/influencing* (see Table I20).

Case B

Twenty competencies were identified by HoD respondents in Case B (see Table I19). Four competencies were identified with the highest responses and these were: *C2–administration, C11-interpersonal skills, C12–figurehead,* and *C17-negotiating/influencing*. The next highest competencies were: *C1-academic role, C9-innovation, C19-planning and objective setting, C20-problem solving, C22-stakeholder focus,* and *C24-time management*. Eleven competencies were identified by the VC for Case B: *C1-academic role, C2-administration role, C4-communication, C5-co-ordination, C6-decision making, C7-developing and communicating a vision, C11-interpersonal skills, C16-motivation, C17-negotiation/influencing, C18-organising,* and *C22-stakeholder focus* (see Table I20).

Case C

Nineteen competencies were identified by HoD respondents in Case C (see Table I19). One competency was identified with the highest responses and this was *C12-figurehead*. The next highest competencies were: *C2-administration, C6-decision making, C8-developing people, C17-negotiating/influencing,* and *C23-teamwork*. Turning to the Superior results, five competencies for HoDs were identified from this group and these were: *C8-developing people, C10-integrity and ethics, C11-interpersonal skills, C12-figurehead,* and *C20-problem solving* (see Table I20).

Case D

Eighteen competencies were identified by HoDs in Case D (see Table I19). Seven competencies were identified with the highest responses and these were: *C4-communication skills, C5-co-ordination, C10-integrity/ethics, C11-interpersonal skills, C12-figurehead, C15-monitoring and control,* and *C20-problem solving*. The next highest clusters were: *C2-administration, C8-developing people, C16-motivating others, C18–organising,* and *C19-planning and objective setting*. The Principal of Case D identified two key competencies most needed by HoDs and these were: *C10-integrity/ethics,* and *C12-figurehead* (see Table I20).

Case E

Eleven competencies were identified by HoD respondents in Case E (see Table I19). Three competencies were identified with the highest responses and these were: *C5-co-ordination, C10-integrity/ethics,* and *C12-figurehead*. The next highest cluster was: *C1-academic role, C8-developing people, C17-negotiating/influencing,* and *C18-organising*. The Principal of Case E identified five key competencies most needed by HoDs and these were: *C2-administration, C9-innovation, C11-interpersonal skills, C16–motivation,* and *C23-teamwork* (see Table I20).

Case F

Fifteen competencies were identified by HoD respondents in Case E (see Table I19). One competency was identified with the highest response and this was: *C17-negotiating/influencing*. The next highest cluster was: *C2-administration, C4-communication skills, C7-developing and communicating a vision, C8-developing people,* and *C11-interpersonal skills*. The Director identified the following three competencies for HoDs in Case F: *C9-innovation, C12–figurehead,* and *C13-liaison and networking* (see Table I20).

In summary, the role of the HoD in HEIs and the identification of competencies for that role on a per case basis were presented in this section. The next section looks at how competencies identified by the HoDs for their role vary from those identified in the literature.

6. RI 4. Differences of identified MLCs at Kerala HEIs from the literature

This section presents the data on the MLCs selected by respondents in part two of the *KUACAT* (Quinn et al's 2003 model). Respondents (both HoDs and Superiors) were asked to rate the MLC on a 5 point Likert scale (1 not important at all; 2 somewhat important; 3 important; 4 very important; 5 absolutely critical). For succinctness of data display the results, on a per case basis for the HoDs, are presented in Table I 21. The selection and rankings by the Superiors can be found in Table I 22.

Table I 21: C*ase analysis of Quinn et al's (2003) 24 MLCs (by HoDs) by rating N= 36 (6 per case)*

Case A	Case B	Case C	Competency	Case D	Case E	Case F
3.2	4.3	3.8	a) Understanding self and others	4.2	4.2	4.3
3.3	4.2	3.3	b) Communicating effectively	4.2	4.2	4.0
3.0	3.3	3.0	c) Developing employees	3.8	4.0	3.8
2.8	3.2	2.8	d) Building teams	4.2	3.7	3.7
2.8	4.2	3.7	e) Use participative decision making	3.5	3.8	4.2
3.0	3.5	3.5	f) Managing conflict	3.7	3.5	3.5
3.2	3.5	3.2	g) Monitoring individual performance	3.8	4.0	4.0
2.8	3.2	3.3	h) Managing collective performance & processes	3.7	4.2	4.3
2.7	3.8	2.7	i) Analysing information with critical thinking	3.7	3.8	4.0
2.7	3.2	3.7	j) Managing projects	3.8	4.0	3.0
2.5	3.2	3.0	k) Designing work	3.7	3.5	3.0
3.0	3.2	2.0	l) Managing across functions	3.0	4.0	2.8
3.2	4.0	4.7	m) Developing and communicating a vision	3.8	4.0	4.0
3.2	4.0	4.2	n) Setting goals and objectives	3.7	4.3	3.5
2.7	3.3	3.3	o) Designing and organising	3.8	3.7	3.7
2.8	3.7	3.2	p) Working productively	4.2	4.0	3.8
3.0	3.5	3.0	q) Fostering a productive work environment	3.8	4.2	3.8
3.0	3.3	2.8	r) Managing time and stress	4.0	3.7	3.7
2.0	2.7	2.8	s) Building and maintaining a power base	3.5	3.5	3.2
2.8	3.0	2.7	t) Negotiating agreement and commitment	3.8	4.0	3.5
3.2	3.5	3.7	u) Presenting ideas	4.0	3.8	3.0
3.2	3.3	3.5	v) Managing change	3.7	3.8	3.7
3.2	3.7	4.2	w) Thinking creatively	4.2	4.3	3.7
2.8	3.7	3.0	x) Handling change	4.0	4.0	3.5

KEY: rating scale

1	*Not important at all*	*2*	*Somewhat important*	*3*	*Important*	*4*	*Very Important*	*5*	*Absolutely Critical*
All cases agreement: important or higher									

[Developed for this study from part 2 of the KUACAT and Quinn et al (2003)]

Table I 22: *Rating of importance of competency to HoD role by Superiors N=6*

	Competency	**A007**	**B007**	**C007**	**D007**	**E007**	**F007**	**Av.**
a	Understanding self and others	3	2	4	3	4	3	3.2
b	Communicating effectively	4	4	3	4	5	4	4.0
c	Developing employees	3	5	2	4	3	5	3.7
d	Building teams	2	4	4	4	4	5	3.8
e	Using participative decision making	4	4	4	3	4	4	3.8
f	Managing conflict	4	3	4	3	4	4	3.7
g	Monitoring individual performance	3	5	2	4	3	3	3.3
h	Managing collective performance and processes	2	4	3	5	3	4	3.5
i	Analysing information with critical thinking	4	5	4	4	3	3	3.8
j	Managing projects	3	4	2	3	2	3	2.8
k	Designing work	4	5	2	2	3	2	3.0
l	Managing across functions	2	4	3	2	3	3	2.8
m	Developing and communicating a vision	4	2	4	4	3	4	3.5
n	Setting goals and objectives	4	2	4	4	3	4	3.5
o	Designing and organising	4	3	3	3	2	3	3.0
p	Working productively	3	4	4	4	3	4	3.7
q	Fostering a productive work environment	4	5	3	4	3	5	4.0
r	Managing time and stress	4	5	2	4	3	3	3.5
s	Building and maintaining a power base	3	4	2	3	2	3	2.8
t	Negotiating agreement and commitment	4	3	4	3	3	3	3.3
u	Presenting ideas	3	3	3	4	3	4	3.3
v	Managing change	4	2	2	3	3	3	2.8
w	Thinking creatively	4	5	3	4	3	5	4.0
x	Handling change	3	4	2	3	2	4	3.0

Code

1	Not important at all
2	Somewhat important
3	Important
4	Very important
5	Absolutely critical

[Developed for this study from part 2 of the KUACAT and Quinn et al (2003)],

Case A

Combined results of HoD respondents from Case A indicated that 13 of the 24 competencies were rated by *important* or above refer table I 21. The thirteen competencies are: a) understanding self and others, b) communicating effectively, c) developing employees, f) managing conflict, g) monitoring individual performance, l) managing across functions, m) developing and communicating a vision, n) setting goals and objectives, q) fostering a productive work

environment, r) managing time and stress, u) presenting ideas, v) managing change, and w) thinking creatively. All other competencies fell into the somewhat important category.

The Superior results in Table I 22 indicate 22 of the 24 competencies were rated as important or above. Only two competencies, h) managing collective performance and processes and l) managing across functions were identified as less important.

Case B

Combined results of HoD respondents from Case B indicated that 23 of the 24 competencies were rated as *important* or above. Of these five were considered to be *very important* or higher and these are marked in bold. The competencies were: **a) understanding self and others**, **b) communicating effectively,** c) developing employees, d) building teams, **e) use participative decision making,** f) managing conflict, g) monitoring individual performance, h) managing collective performance and processes, i) analysing information with critical thinking, j) managing projects, k) designing work, l) managing across functions**, m) developing and communicating a vision, n) setting goals and objectives,** o) designing and organising p) working productively**,** q) fostering a productive work environment, r) managing time and stress, t) negotiating agreement and commitment, u) presenting ideas, v) managing change, w) thinking creatively, and x) handling change. The only competency to be rated as *somewhat important* was s) building and maintaining a power base.

Twenty of the 24 competencies were rated by the Superior of Case B as important or above (of which 14 were rated as very important or absolutely critical). The four competencies a rated as less important were a) understanding self and others, m) developing and communicating a vision, n) setting goals and objectives and v) managing change.

Case C

Combined results of HoD respondents from Case C indicated that 18 of the 24 competencies were rated as *important* or above. Of these three were considered to be *very important* or higher and these are indicated in bold. The 18 competencies are: a) understanding self and others, b) communicating effectively, c) developing employees, e) use participative decision making, f) managing conflict, g) monitoring individual performance, h) managing collective performance and processes, j) managing projects, k) designing work, **m) developing and communicating a vision, n) setting goals and objectives,** o) designing and organising, p) working productively**,** q) fostering a productive work environment, u) presenting ideas, v) managing change, **w) thinking creatively**, and x) handling change. The six competencies to be rated as *somewhat important* were d) building teams, i) analysing information with critical thinking, l) managing across functions**,** r) managing

time and stress, s) building and maintaining a power base and t) negotiating agreement and commitment. Of these, five had a score higher than 2, moving towards a score of 3 (important) with only l) managing across functions being rated as a 2.

The Superior in Case C rated 16 of the 24 competencies as important or above, and rated the following eight competencies as of less importance: c) developing employees, g) monitoring individual performance, j) managing projects, k) designing work, r) managing time and stress, s) building and maintaining a power base, v) managing change, and x) handling change.

Case D

All 24 competencies were identified, by HoD respondents, with a score higher than 3 with managing across functions as the only competency to be rated as *important.* Of these eight were considered to be *very important* or higher and these competencies were: a) understanding self and others, b) communicating effectively, d) building teams, p) working productively, r) managing time and stress, u) presenting ideas, w) thinking creatively, and x) handling change.

The Head of the organisation rated 22 of the 24 competencies as important or above, with two competencies being rated as somewhat important: k) designing work and l) managing across functions.

Case E

Combined results of HoD respondents from Case E indicated that all 24 competencies were rated as *important* or above. Of these 14 were considered to be *very important* or higher and these were: a) understanding self and others, b) communicating effectively, c) developing employees, g) monitoring individual performance, h) managing collective performance and processes, j) managing projects, l) managing across functions, m) developing and communicating a vision, n) setting goals and objectives, p) working productively, q) fostering a productive work environment, t) negotiating agreement and commitment, w) thinking creatively and x) handling change.

The Head of the organisation rated 20 of the 24 competencies as important or above, with the following four competencies being rated as somewhat important: j) managing projects, o) designing and organising, s) building and maintaining a power base, and x) handling change.

Case F

Combined results of HoD respondents from Case F indicated that 23 of the 24 competencies were rated as *important* or above. Of these seven were considered to be *very important* or higher and these are marked in bold. The competencies were: **a) understanding self and others**, **b) communicating effectively,** c) developing employees, d) building teams, **e) use participative decision making,** f) managing conflict, **g) monitoring individual performance, h) managing**

collective performance and processes, **i) analysing information with critical thinking,** j) managing projects, k) designing work, **m) developing and communicating a vision,** n) setting goals and objectives**,** o) designing and organising, p) working productively**,** q) fostering a productive work environment, r) managing time and stress, s) building and maintaining a power base, t) negotiating agreement and commitment, u) presenting ideas, v) managing change, w) thinking creatively, and x) handling change. The only competency to be rated as *somewhat important* was l) managing across functions. The Director of Case F also identified 23 of the 24 competencies as important or above with one competency - k) designing work- being rated as somewhat important.

The selection of competencies from the CVM required for HoDs has been reported in this section. In the next section the results of the study in relation to RI 5, development of MLCs, are presented.

7. Development of MLCs of HoDs at Kerala HEIs

A number of recommendations on how to develop MLCs for HoDs emerged from interview responses (Qus. 22 & 28) and from part 5 of the *KUACAT*. In addition, data was collected (via part 5 of the *KUACAT*) on the preferred ML activities that HoDs would prefer to undertake in order to develop the required MLCs. These results are described under each case heading and for succinctness of data display, all six cases are presented in Table I 23.

Table I 23*: Leadership and management developmental activities: per case N=35*

Description ↓ Cases →	A	B	C*	D	E	F
Special assignment.	4	1	2	3	2	3
Job rotation	3	4	2	2	2	2
Action learning	3	4	1	1	3	1
Mentoring	4	4	0	5	3	4
Feedback coaching	0	3	0	1	3	2
In-depth development coaching	0	2	0	3	2	3
Content coaching	4	4	1	3	3	2
Multi-source feedback workshops (360 degree rating)	3	2	0	1	3	2
Developmental assessment centres and workshops	5	4	0	2	4	2
Outdoor challenge programs.	3	2	1	2	2	2
Personal development programs.	5	4	2	5	5	4
Training programs.	4	4	2	5	3	3
Classroom lectures	4	4	4	6	4	4
Films and videos	2	5	2	5	4	4
Simulation exercise.	2	3	1	2	3	2
Behaviour role modelling.	2	1	2	2	4	1
Case discussion	3	3	3	3	2	3
Business games	2	3	1	0	3	1

(Source: Developed for this study using responses from part 5 of the KUACAT)

Case A

Respondents from Case A identified three themes: the need for a quality system, management training, and the most prevalent theme to emerge - that of the need to improve HR processes. These themes are described in Table I 24.

Table I 24: *Development of MLCs for HoDs - Key themes Case A*

Theme	No. of times raised	Supporting Comment
Implementation of a quality system in organisation	2	*-Develop a quality approach* (A001) *-Improving quality is a continual process that needs to be develope* (A002)
ML training	2	*-Basic management training to HoDs needs to be given (A007)* *-Motivational lectures needed* (A001)
Improvement of HR processes	6	*-Merit awards for HoDs* (A001) *-Orientation programme for new HoDs* (A001) *-Recognition of abilities* (A001) *-Clarification of role through job descriptions* (A002) *-Training at all levels of the organisation, including HoDs* (A002) *-Recruit people to HoD at professor level by merit rather tha seniority within one university* (A006)

(Source: Developed for this study using responses to questions 22 & 28 of the interview protocol), N=6

More than two thirds of Case A respondents selected (from part 5 of *KUACAT*) the following **MLD** activities that they would like to partake in:

- Special assignment
- Mentoring
- In-depth development coaching
- Developmental assessment centres and workshops
- Personal development programs
- Training programs, and
- Classroom lectures.

Case B

Three Respondents from Case B identified one theme - the need to **improve HR processes**. The comments were:

> *-Statutory provisions need to change to identify leadership qualities as part of selection process for HoD* (B002)
> *-Need a dedicated HR Department* (B005).
> *-Training is needed to enhance one's own and staff's capabilities* (B006)

More than two thirds of Case B Respondents selected (from part 5 of *KUACAT*) the following **MLD** activities that they would like partake in:

- Job rotation
- Action learning

- Mentoring
- Content coaching
- Developmental assessment centres and workshops
- Personal development programs
- Training programs
- Classroom lectures, and
- Films and videos.

Case C

Respondents from Case C identified four themes: government direction, implementation of a quality system, need for managerial leadership training, and improvement of HR processes. These are described in Table I 25.

More than two thirds of Case C Respondents selected as their preferred **MLD** activity (from part 5 of *KUACAT*) *classroom lectures*. Other activities that were selected by 50 percent of the respondents were *training programs* and *case discussions.*

Table I 25: *Development of MLCs for HoDs - Key themes Case C*

Theme	No. of times raised	Supporting Comment
Government direction	1	*A central government taking over university will improve chance of a more professional approach* (C003)
Implementation of a quality system in organisation	1	*Need to use the expertise of a system analyst who can see the problems in the system; at present the only expertise comes from people within the system* (C005)
ML training	1	*School of Management Studies could develop a leadership and management course for HoDs if requested by VC or Syndicate* (C008)
Improvement of HR processes	1	*Need more orientation and motivation; need to improve productivity and efficiency* (C002)

(Source: Developed for this study using responses to questions 22 & 28 of the interview protocol), N=6

Case D

Respondents from Case D identified three themes: government direction, need for managerial leadership training, and improvement of HR processes. These are described in Table I 26.

Table I 26: *Development of MLCs for HoDs - Key themes Case D*

Theme	No. of times raised	Supporting Comment
Government direction	1	*Government needs to initiate action* (D002)
ML training	1	*Need more training for HoDs; IMG only train potential Principals* (D004)
Improvement of HR processes	2	*Training (needed) at all levels of the organisation, including HoDs* (D002; D005)

(Source: Developed for this study using responses to questions 22 & 28 of the interview protocol), N=6

Case D Respondents selected (from part 5 of *KUACAT*) the following **MLD** activities that they would like partake in:

- Mentoring
- Personal development programs
- Training programs
- Classroom lectures (100%), and
- Films and videos.

Case E

Respondents from Case E identified two themes: the need for management training, and improvement of HR processes. These are described in Table I 27. More than two thirds of Case E Respondents selected (from part 5 of *KUACAT*) the following **MLD** activities that they would like partake in:

- Developmental assessment centres and workshops
- Personal development programs
- Classroom lectures
- Films and videos, and
- Behavior role modeling.

Table I 27: *Development of MLCs for HoDs - Key themes Case E*

Theme	No. of times raised	Supporting Comment
ML training	1	*Basic management training to HoDs need to be given; good idea would improve situation; can be delivered by IMG* (E004).
Improvement of HR processes	2	*HRD department needs to come to deliver motivational training aimed at excellence; only then will a quantum leap be made for the colleges to work better as a whole* (E003).

(Source: Developed for this study using responses to questions 22 & 28 of the interview protocol), N=6

Case F

Two respondents from Case F identified one theme - the need for **managerial leadership training** – with the comment:

Training on leadership and management competencies is needed (F002; F005*)*

More than two thirds of Case F Respondents selected (from part 5 of *KUACAT*) the following **managerial leadership development** activities that they would like partake in:

- Mentoring
- Personal development programs
- Classroom lectures, and
- Films and videos.

8. Additional data: Focus group results

Two focus group sessions were conducted. One was with other HoDs from Case D (FGH) and the other was of followers from Case A (FGF). As well as open ended questions, selected cross case analysis findings were presented to both groups in order to triangulate the data for RI 3-5. The data from the two focus groups is presented in this section.

RI 2.2: Implications of the organisational context on development of MLCs

FGH members identified the same seven perceived obstacles to development of MLCs that had been identified by HoD respondents. The FGF only identified two areas of concern and they were *political interference* and *vision and ability of decision makers*. The results are presented below in Table I 28.

Table I 28: *Perceived obstacles to development of MLCs*

Theme	FGF	FGH	Supporting Comment
HR Support		X	
Union involvement		X	
Legislation/ State government		X	
Financial		X	
Political Interference	X	X	*Universities are politically structured (*FGF*)* *There is a lot of political interference* (FGH)
Work culture		X	
Vision/Ability of Decision Makers	X	X	*What does the VC care about HoD management skills?* (FGF)

(Source: Developed for this study from FG transcripts)

RI 3: MLCs required by HoDs

The FGF members supported fully the 24 competencies identified by the HoD respondents, however the FGH members felt that though all the competencies were relevant some were much more key to their roles and they thus nominated the following competencies as the most important: *C1-academic role, C2-administration, C4-communication skills, C5-co-ordination, C6-decision making, C8-developing people, C11-interpersonal skills, C12-figurehead, C16-motivating others, C17-negotiation/influencing, C18-organising, C20-problem solving, C22-stakeholder focus,* and *C24-time management*. Table I 29 provides summarised data from the two focus groups.

Table I 29: *Identified competencies by HoDs supported by Focus Groups N= 3 per FG*

No.	Identified Competency	FGF	FGH
C1	**Academic role** as head of subject, research role; eminent scholar	3	3
C2	**Administration** e.g. following routine procedures; exercising authority to approve and request items and authority given to HoD by organisation	3	3
C3	**Change management**	3	0
C4	**Communication Skills** (including **e**ffective listening; giving and receiving feedback	3	0
C5	**Co-ordination role**	3	0
C6	**Decision making (**including participative decision making; autonomous role re decisions)	3	3
C7	**Developing and communicating a vision**	3	0
C8	**Developing people:** development mentality to develop both administration and academic staff	3	3
C9	**Innovation approach** (including initiative and proposal development)	3	0
C10	**Integrity/ Ethics**	3	0
C11	**Interpersonal skills** (including consultation, facilitation, demonstrating respect, counselling, relationship building and maintenance)	3	3
C12	**Figurehead** (including role model, head of family)	3	3
C13	**Liaison and Networking**	3	0
C14	**Managing resources:** information, finances, infrastructure and multiple programmes.	3	0
C15	**Monitoring and control:** e.g. classes, staff, workloads, productivity,	3	0
C16	**Motivating others (**including developing a positive work culture)	3	3
C17	**Negotiation/Influencing (**including diplomacy)	3	3
C18	**Organising:** e.g. seminars, conferences, debates, workload	3	3
C19	**Planning and objective setting**	3	0
C20	**Problem solving (**including crisis management)	3	3
C21	**Quality improvement and best practice**	3	0
C22	**Stakeholder focus** (including students and political groups)	3	3
C23	**Teamwork (**including being a team player)	3	0
C24	**Time management**	3	3

(Developed for this study from FG transcripts)

RI 4: Differences of identified MLCs at Kerala HEIs from the literature

The FGH were asked to rank the 24 competencies from the CVM. The group were given the choice to decide if any of the competencies were not important to them; however the FGH identified all 24 competencies as important and their ranking of importance is outlined in Table I 30.

Table I 30: *Ranking of CVM competencies by FGH*

Rank	Code	Competency
1	a	Understanding self and others
2	n	Setting goals and objectives
3	b	Communicating effectively
4	m	Developing and communicating a vision
5	w	Thinking creatively
6	u	Presenting ideas
7	g	Monitoring individual performance
8	h	Managing collective performance and processes
9	e	Using participative decision making
10	i	Analysing information with critical thinking
11	c	Developing employees
12	p	Working productively
13	v	Managing change
14	x	Handling change
15	r	Managing time and stress
16	d	Building teams
17	o	Designing and organising
18	k	Designing work
19	q	Fostering a productive work environment
20	j	Managing projects
21	t	Negotiating agreement and commitment
22	f	Managing conflict
23	l	Managing across functions
24	s	Building and maintaining a power base

(Developed for this study from FG transcripts)

RI 5 Development of MLCs of HoDs at Kerala HEIs

In addition, FGH members identified four key issues to support the introduction of MLCs. These were: (a) government direction; (b) implementation of a quality system in organisation; (c) management training, and (d) improvement of HR processes. FGF participants indicated that: *training for HoDs was a good idea* (FGF001) and that *two to three people (from each department) should get management training* (FGF003). The FGH identified 10 development activities that they felt were important in developing competencies. These ten, and the ranked order, can be found in Table I 31.

Table I 31: *Identified MLC development activities by FGH: Top ten*

Description	FGH Ranking
Personal development programs	1
Training programs	2
Developmental assessment centres and workshops	3
Outdoor challenge programs	4
Feedback coaching	5
In-depth development coaching	6
Content coaching	7
Simulation exercise.	8
Action learning	9
Mentoring	10

(Source: Developed for this study from FG transcripts), N=3

Appendix J: Case Study reports - Cases A to F

APPENDIX J-1

Pilot Case and Case Study A

University of Kerala, Trivandrum, Kerala, India.

University of Kerala (UoK) is one of three universities selected for this study. UoK was easily accessible for the Researcher and, as the largest case selected for the study, UoK was selected as the pilot case. The case begins with a background description and describes the sources of evidence for this case study. The sections following describe UoK's organisation and the Head of Department (HoD) at UoK. It concludes with the detailed sources of evidence used to gather information for this case study.

1. Background

Originally the University of Travencore, and established in 1937, UoK was the sixteenth university to be set up in India. In 1968 with the establishment of other state universities, the area of the jurisdiction of the UoK has been limited to Thiruvananthapuram, Kollam, Alappuzha Districts and some part of Pathanamthitta District. UoK is a state university funded by UGC.

The UoK was the first university in India to ensure participation of students in the University Syndicate. Students are also given representation in other authorities such as the Academic Council and the Senate. UoK was ranked third by the *Outlook India* magazine for the year 2007 in the top 50 government universities in India.

1.1 Case organisation selection

UoK was purposefully selected for this research project for a number of reasons. It qualified for its geographic location, size and type of organisation- state university.

1.2 Courses offered

The University offer a wide range of teaching and research at post-graduate M.Phil and PhD levels. No undergraduate studies are conducted at the university with the exception of the centre for Distance Education. In addition to the university departments of teaching, research and affiliated colleges, the university also maintains 11 centres for specialised studies and research.

2. Sources of evidence

Following an initial approach to Dr. J Rajan, HoD at the Institute of Management in Kerala (IMK) – a Department of UoK - the Pro Vice Chancellor (PVC) received a letter that introduced the research project, the Researcher and sought approval for the Researcher to contact HoDs, verbally invited by Dr Rajan, to participate in the study.

2.1 Participant selection

Six interview participants were determined with the HoD (IMK) during the initial field visit. The six were nominated by the HoD as being fluent in English, and either having an interest in the subject (and thus willing to allocate time for an interview) or, in his opinion, held views of interest for the study. In addition, the Vice chancellor (VC) made himself available for interview in March 2006 and one Syndicate Member (SM) was selected to gain the views of the syndicate.

2.2 Participant experience

Two HoDs interviewed had experience in the head position of up to four years and the other four had been in the position between 5-10 years; five of the six had worked at UoK for over 20 years and one had been with UoK for 5-10 years.

2.3 Other evidence available

In addition to the HoD, VC and SM interviews, internal documents, reports, publications and the UoK web site were used to gather information. These supporting materials, listed at the end of the case study, provided additional evidence for clarifying and confirming the data provided by the interviewees during the month of January 2006.

3. UoK's organisation

In India there are central universities, institutions of national importance, state universities, and institutes deemed to be universities (Gopalan 2001), however in Kerala Higher Education Sector (HES) there are three types of higher education institutes, the State University with affiliating colleges, Affiliated colleges (public funded, aided and non aided) and Deemed Universities (federal funded). UoK is a state university with affiliating colleges. UoK abides by the Kerala University Act of 1974.

3.1 Mission

The University of Kerala does not have a formal mission statement.

3.2 Organisational structure

UoK has 16 faculties with 41 academics departments and 121 affiliated colleges (University of Kerala 2005). The university has two campuses: the main campus at Kariavattom, accommodating 32 academic departments and the city campus accommodating nine departments (Kamal et al. 2003).

3.3 Management structure of University of Kerala

The following outlines the different positions within UoK:

Chancellor:

The Chancellor of UoK is the Governor of the State which is a common practice within Indian State Universities (Pylee 1999).

Vice Chancellor (VC)

The VC is the chief executive and academic head of universities in Kerala. The VC is appointed for a period of 4 years, under the Kerala University Act (1974) (Menon 2003; Pylee 1999). This is normally a political appointment (Source: key informant University of Kerala) which reflects the current Government of the State (Pylee 1999).

Pro Vice Chancellor (PVC)

A PVC position is held at the UoK and this position acts as an assistant to the VC. Some of the responsibilities held are being in charge of administration, academic and or education affairs.

In addition to the senior positions discussed above UoK also has middle management positions which include the academic HoD and lower management. Table K1 below illustrates the types of managerial positions at each level.

Table J1 *Levels and positions at UoK*

Level	Positions
Top Management	VC, PVC, Registrar, Finance and account officer, Controller of Examinations, Director Board of College and University Development
Middle Management	HoDs, Deputy Registrar, Assistant Registrar
Lower Management	Superintendent, Assistant Superintendent

[Adapted from Joshi and Joshi (1999) and Joshi and Kukerin (2004)]

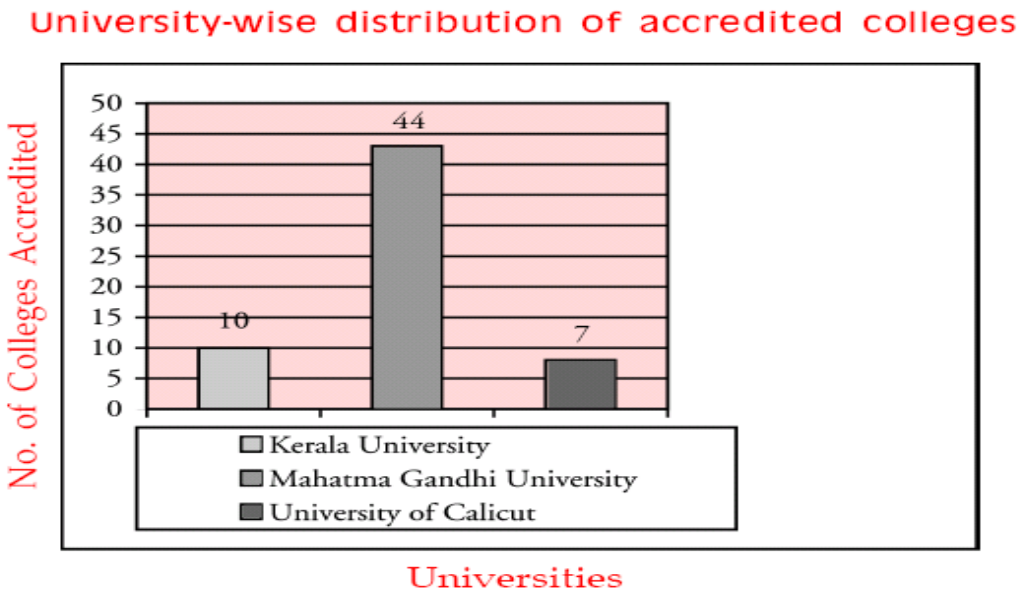
3.4 Academic departments

UoK has 16 faculties and 41 departments of teaching and research.

3.5 Affiliating colleges

UoK has 121 affiliated arts and science colleges which offer predominantly undergraduate degrees. Of the 121 affiliated colleges only 10 are accredited, including University College and Mar Ivanios College (2 of the case study organisations). Figure K1 indicates the comparison across the three universities.

Figure J1: *Accredited Colleges*



[Source Ummerkutty, Stella et al (2004)]

3.6 Accreditation

Accreditation was last conducted in March 2003.

3. 7 Key challenges facing UoK

Respondents identified five organisational challenges:
a) the impact of reserving certain teaching jobs at the university for scheduled castes. This results in quality issues in regard to teaching (as some of these staff are not competent),
b) state government's ability to manage the impact of trade unions,
c) student demands and agitation,
d) the need for leadership to manage change; and
e) difficulties with recruiting capable teachers.

3.8 Effectiveness

Organisational effectiveness was rated as average to good by an equal number of respondents and managerial effectiveness was rated as average, though with two respondents rating it as very poor and one as very good. Especially concerning was the *not suitable* rating for a positive work culture.

3.9 Human Resource (HR) management

UoK does not have a department to carry out HR functions however a number of HR functions are conducted either through the university or by the State Government. Responses from Case A interviews suggest that 83 percent (5 out of 6) of the HoDs felt the current HR function is average, with one respondent rating it as poor.

3.9.1 HR practices

The need to introduce or improve eight HR practices were identified by respondents, and these are:

a) preparation for role
b) position description for HoD
c) performance appraisal for HoDs
d) remuneration for HoD role
e) succession plan in place
f) Training (including orientation programme)
g) HR department required, and
h) recruitment and selection procedures.

4.0 Heads of Departments (HoDs)

The study focused on gaining a greater understanding of the challenges, competencies and development needs of the HoDs.

4.1 HoD role

Respondents were asked to identify the changes in role or responsibility of HoDs. The following issues emerged:

(a) too much political influence, and

(b) need more incentive and motivation to become a HoD.

4.2 Identified competencies

Twenty two competencies were identified by HoD respondents from interview. Five competencies were identified with the highest responses and these were: *C1-academic role, C6-decision making, C9-innovation, C11-interpersonal skills, and C19-planning and objective setting*. The next highest competencies were: *C2-administration, C3-change management, C12-figurehead, C16-motivating others,* and *C21-quality improvement and best practice*. Other identified competencies were: *C4-communication, C7-developing and communicating a vision, C8-developing people, C13-liaison and networking, C14 managing resources, C15-monitoring and control, C17-negotiation/influencing skills, C18–organising, C20-problem solving* and *C22-stakeholder focus.*

The VC identified six competencies required by HoDs and these are: *C1-academic role, C4-communication, C6-decision making, C9-innovation, C12-figurehead* and *C17-negotiation/influencing skills.*

4.3 Identified actions for development of competencies

Three themes - need for a quality system, managerial leadership training, and the need to improve HR processes - were all identified as needed in order to help develop competencies of HoDs at the UoK.

More than two thirds of respondents selected the following managerial leadership development activities that they would like to partake in:

- special assignment
- mentoring
- in-depth development coaching
- developmental assessment centres and workshops
- personal development programs
- training programs, and
- classroom lectures.

5. List of sources of evidence

5.1 Interviewee participants

Dr Jameela Begum	HoD English
Dr J Rajan	HoD IMK
Dr G Devarajan	HoD Library and Information Services
Dr A R Rajan	HoD Mathematics
Dr VP Mohammed Kunja Metharu	HoD Hindi
Dr B A Prakash	HoD Economics
Dr RN Yesudas	Syndicate Member
Dr V Jayaprakal	PVC

5.2 Focus Group participants

A focus group was held in November 2006 consisting of invited subordinates who commented on the preliminary findings of the study. They were:

Dr Evangeline Shanti Roy	English Department
Dr Maya Dutt	English Department
G Sashi Kumar	IMK

5.3 Contacts

Dr J Rajan Head of Department, IMK
Mr. Prins Public Relations Officer, University of Kerala

5.4 Other sources

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Joshi, M & Kulkarni, V 2004, 'Management information system for university administration', in U Negi (ed.), *Management of University Administration*, Association of Indian Universities, New Delhi.
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APPENDIX J-2

Case Study B
Mahatma Gandhi (MG) University, Kottayam, Kerala, India.

Mahatma Gandhi University (MGU) also known as M.G. University is one of the three universities selected for this study. The case begins with a background description and describes the sources of evidence for this case study. The sections following describe MGU's organisation and the Head of Department (HoD) at MGU. It concludes with the detailed sources of evidence used to gather information for this case study.

1. Background

MGU was established in 1983 in Kottayam and is a newer, regional university. The university has 237 affiliated colleges spread over five districts in central Kerala. Besides this, it has 25 teaching and research departments, six information centres and three study centres. The University is funded by the UGC and Government of Kerala.

MGU initiated a self-financing stream in the Kerala university system in 1993 and has been able carve a niche, especially in professional and job-oriented education in the State. MGU is the first Kerala state university to open international off campus centres.

1.1 Case organisation selection

MGU was purposefully selected for this research project for a number of reasons. It qualified for its geographic location, its role as a regional university, its medium size, and type of organisation-state, regional university, with *Schools* rather than departments.

1.2 Courses offered

The University has 410 courses in graduate, post graduate and M.Phil/PhD programmes.

2. Sources of evidence

Following an initial approach to Dr. K. Sreeranganathan, HoD - School of Management and Business Studies (School of M&BS), the Vice Chancellor (VC) received a letter that introduced the research project, the Researcher and sought approval for the Researcher to contact HoDs, verbally invited by Dr Sreeranganathan to participate in the study.

2.1 Participant selection

Six interview participants were determined with the HoD (School of M&BS) during the initial field visit. The six were nominated by the HoD as being fluent in English, and either having an interest in the subject (and thus willing to allocate time for an interview) or, in his opinion, held views of interest for the study. In addition, the VC made herself available for interview. No syndicate member was interviewed, as at the time of the site visit, the new syndicate had not yet been formed.

2.2 Participant experience

Three HoDs interviewed had experience in the head position of up to four years; one had 5 -10 years experience in the role and two HoDs had held the position for between 16-20 years. Two HoDs had been at MGU for less than 5-10 years, two had been with MGU for 16-20 years, whilst the other two had worked at MGU for over 20 years.

2.3 Other evidence available

In addition to the HoD and VC interviews, internal documents, reports, publications and the MGU web site were used to gather information. These supporting materials, listed at the end of the case study, provided additional evidence for clarifying and confirming the data provided by the interviewees during the month of February 2006.

3. MGU's organisation

MGU is a state university with affiliating colleges. MGU is managed under the Mahatma Gandhi University Act KL/TV (N)/ 12 (1985) and the Mahatma Gandhi University Statutes (1997).

3.1 Mission

MGU does not have a formal mission statement.

3.2 Organisational structure

MGU has 25 teaching and research departments, 12 university colleges of teaching education, 26 regional centres, three study centres, five information centres and 49 off campus academic centres. There are 237 colleges affiliated to MGU.

3.3 Management structure of MG University

The following outlines the different positions within MGU:

Chancellor:

The Chancellor of MGU is the Governor of the state.

Vice Chancellor (VC)

The VC is the chief executive The VC is appointed for a period of 4 years, under the MG University Act (1985). The VC at the time of this study was Dr Jancy James, the only female VC in the state of Kerala.

Pro Vice Chancellor (PVC)

A PVC position is held at the MGU and this position acts as an assistant to the Vice Chancellor. Some of the responsibilities held are administration, academic and or education affairs.

In addition to the senior positions discussed above MGU also has middle management positions which includes the academic HoD and lower management. Table K1 as indicated previously illustrates the types of managerial positions at each level.

3.4 Academic departments

MGU has 25 University Departments.

3.5 Affiliating colleges

MGU has 22 Engineering Colleges, 1 Law College, 3 Medical Colleges, 20 Nursing Colleges, 7 SME Nursing Institutes, 4 Pharmacy Colleges, 4 Dental Colleges, 3 Ayurveda Colleges, 2 Homoeo Colleges, 1 Music and Fine Arts College, 121 affiliated Arts and Science colleges, 37 Education Training Colleges and 12 University Colleges of Teacher Education. Forty four colleges have been accredited and, as indicated previously in Figure K1, this represents the highest number of accredited colleges of the state's three affiliating universities.

3.6 Accreditation

There was no accreditation information available from MGU.

3.7 Key challenges facing MGU

Respondents identified four organisational challenges facing MGU, two external and two internal issues. These are:

(a) State government drive to make Kerala a top destination for Higher Education,

(b) changing demands of students in relation to their need to access information through technology and also in managing their expectation of what is needed to pass courses,

(c) the need for increased leadership especially in terms of improving the quality of education, and,

(d) organisational issues including the need to compete more internationally and the need to have more academics in the syndicate rather than political appointments.

3.8 Effectiveness

Organisational and managerial effectiveness was rated as average by the majority of respondents, though respondents also gave poor and very poor ratings. One respondent gave a rating of very good for each category. Especially concerning was the rating of a work culture as not suitable for organisational performance.

3.9 Human Resource (HR) management

MGU does not have a department to carry out HR functions however a number of HR functions are conducted either through the university or by the state government. Sixty seven percent of the HoDs felt the current HR function is average, with two respondents rating it as very poor.

3.9.1 HR practices

The need to introduce or improve seven HR practices were identified and these are:

a) training
b) HR department required
c) preparation for role
d) position description for HoD
e) performance appraisal for HoDs
f) remuneration for HoD role, and
g) succession plan in place.

4.0 Heads of Departments (HoDs)

The study focused on gaining a greater understanding of the challenges, competencies and development needs of the HoDs.

4.1 The HoD role

Respondents were asked to identify the changes in role or responsibility of HoDs. The following issues emerged:

(a) need for different management skills especially marketing skills
(b) need to balance demands, and
(c) need for organisational change especially in streamlining administration procedures, decreasing bureaucracy and focusing on a stronger academic and management role for HoDs.
(d) lack of power of the HoD role, and
(e) the political influence and harassment felt by HoDs.

4.2 Identified competencies

Twenty competencies were identified by respondents. Four competencies were identified with the highest responses and these were: *C2-administration, C11-interpersonal skills, C12-figurehead, and C17-negotiating/influencing*. The next highest competencies were: *C1-academic role, C9-innovation, C19-planning and objective setting, C20-problem solving, C22-stakeholder focus, and C24-time management*. Other identified competencies were: *C4-communication, C5-co-ordination, C6-decision making, C7-developing and communicating a vision, C8-developing people, C14 managing resources, C15-monitoring and control, C16-motivation, C18-organising* and *C23-teamwork.*

Eleven competencies were identified by the VC and they were: *C1-academic role, C2-administration role, C4-communication, C5-co-ordination, C6-decision making, C7-developing and communicating a vision, C11-interpersonal skills, C16-motivation, C17-negotiation/influencing, C18-organising,* and *C22-stakeholder focus.*

4.3 Identified actions for development of competencies

Three respondents identified the need to improve HR processes specifically looking at assessing HoDs leadership skills before they are selected for the position; the need for dedicated HR department and access to managerial leadership training.
More than two thirds of respondents selected the following managerial leadership development activities that they would like partake in:

- job rotation
- action learning
- mentoring
- content coaching
- developmental assessment centres and workshops
- personal development programs
- training programs
- classroom lectures, and
- films and videos.

5. List of sources of evidence

5.1 Interviewee participants

Dr CS Menon	HoD Physics
Dr Raju Thadwkaran	HoD Ind Relations and Politics
Dr SS Shashidhar	HoD Biosciences
Dr Sree Ranganathan	HoD Management & Business Studies
KP Pushpalatha	HoD Computer Sciences
Dr MP Mathai	HoD Ghandian and Development Studies
Dr Jancy James	VC

5.2 Focus group participants

There was no Focus Group conducted at MGU.

5.3 Contact

Dr. K. Sreeranganathan, School of Management and Business Studies.

5.4 Other sources

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APPENDIX J-3

Case Study C
Cochin University of Science and Technology, (CUSAT) Cochin, Kerala, India.

Cochin University of Science and Technology (CUSAT) is one of the three universities selected for this study. The case begins with a background description and describes the sources of evidence for this case study. The sections following describe CUSAT's organisation and the Head of Department (HoD) at CUSAT. It concludes with the detailed sources of evidence used to gather information for this case study.

1. Background

Originally known as University of Cochin, the University came into being in 1971 through an Act of the Legislature. There are three separate campuses, two in Cochin and one at Pulinkunnu, about 65 km south of Cochin. The University has academic links and exchange programmes with several institutions across the globe. It receives long-term financial assistance by the Government of Netherlands and is the only Indian University to do so. CUSAT ranks itself as a premier Science and Technology University in India.

CUSAT is being strongly considered to be converted into an *Institute Of National Importance* through an Act of Parliament on the lines of the seven IIT's. When this happens the Institution will be named as Indian Institute of Engineering Science And Technology Kochi[17] i.e. IIEST Kochi. CUSAT has been ranked 20th in the list of the top 25 Indian universities (Prathap & Gupta 2009).

1.1 Case organisation selection

CUSAT was purposefully selected for this research project for a number of reasons. It qualified for its geographic location, its role as a regional university; its large size, and type of organisation-state, regional specialist university, with *Faculties*, structured on a federal rather than a Kerala state model and few affiliating colleges. It was also selected because the organisation has been identified as one being changed to IIT status.

1.2 Courses offered

CUSAT offers 11 degree courses, across the different schools as well as some certificate courses. The degrees courses are:
B. Tech
M Tech
MBE (Masters of business economics)
MIB (Masters of international business)
MBA
LLB; LLM
M.Sc
M.Phil
PhD

[17] Cochin is officially called Kochi in the state language - Malayam

2. Sources of evidence

Following an initial approach to Dr Wilson, HoD - School of Management (SoM), the Pro Vice Chancellor (PVC) received a letter that introduced the research project, the Researcher and sought approval for the Researcher to contact HoDs verbally invited by Dr Wilson to participate in the study.

2.1 Participant selection

Six interview participants were determined with the HoD - SoM during the initial field visit. The six were nominated by the HoD as being fluent in English, and either having an interest in the subject (and thus willing to allocate time for an interview) or, in his opinion, held views of interest for the study. In addition, the PVC made and a syndicate member themselves available for interview.

2.2 Participant experience

All HoDs interviewed had experience in the head position of up to three years as a result of rotation of HoD occurring every three years. One of the six had worked at CUSAT for between 5-10 years and all others for over 20 years.

2.3 Other evidence available

In addition to the HoD, PVC and Syndicate member interviews, internal documents, reports, publications and the CUSAT web site were used to gather information. These supporting materials, listed at the end of the case study, provided additional evidence for clarifying and confirming the data provided by the interviewees during the month of March 2006.

3. CUSAT's organisation

CUSAT is a state university with very few affiliating colleges. CUSAT operates under the Cochin University First Statutes, (1980) legislation.

3.1 Mission

The mission of the university is to make distinctive contributions to the cause of higher education in science and technology.

3.2 Organisational structure

Cast in the mould of a federal university, CUSAT is different from other universities in the State, structuring itself into schools and departments and having few affiliating colleges.

3.3 Management structure of CUSAT

The following outlines the different positions within CUSAT:

Chancellor:

The Chancellor of CUSAT is the Governor of the state (Pylee 1999).

Vice Chancellor

The VC is the chief executive. The VC is appointed for a period of 4 years, under the Cochin University Act (1980) (Pylee 1999).

Pro Vice Chancellor

This position acts as an assistant to the Vice Chancellor. Some of the responsibilities held are being in charge of administration, academic and or education affairs.

The Syndicate

The Syndicate is the chief executive body of CUSAT comprising seventeen members and presided over by the VC. It has powers for general superintendence and control over all its institutions. The syndicate is the chief executive body of the university (CUSAT 2006). In addition to the senior positions discussed above CUSAT also has middle management positions which includes the

academic HoD and lower management. Table K1 as indicated previously illustrates the types of managerial positions at each level.

3.4 Academic departments

CUSAT is academically structured into nine faculties: Engineering, Environmental Studies, Humanities, Law, Marine Sciences, Medical Science and Technology, Science, Social Science and Technology. CUSAT has at present 26 Departments of study and research offering Post Graduate programmes across a wide spectrum of disciplines in frontier areas of science and technology. The Centre for Engineering Studies additionally offers several graduate programmers in engineering and technology.

3.5 Affiliating colleges

One of the key differences separating CUSAT from other State universities is generally not having affiliating colleges, with the one exception being the Cochin University College of Engineering, Pulinkunnu.

3.6 Accreditation

Accreditation was last conducted in 2001.

3.7 Key challenges facing CUSAT

CUSAT was identified by respondents as facing a number of organisational issues, including need to upgrade facilities, recruitment of key talent and need to increase productivity. The changing status of the organisation by federal direction was noted by one respondent and the changing student culture was also identified by one respondent. Two specific challenges worthy of detail are as follows:

Political unrest on Campus

During the visit to this case organisation (late Feb/early March 2006), the Researcher was able to witness first hand the political unrest described by interviewees. During her trips around the campus she had to pass through a police barricade to interview the PVC and to pay a courtesy call on the VC. Student numbers were small as the students were on strike, however on the day of her departure, classes were suspended following a incident with students resulting in small injuries to the University Registrar (Staff Reporter 2006c).

Potential Change to IIT status

The Ministry of Human Resources Development has proposed that CUSAT be elevated to the status of an IIT. The Kerala government has informed the Central government that it would support the move and to do so will need to do the following:

- change the status of the university to a national entity
- pass legislation to this effect
- delink the affiliated colleges under CUSAT (Krishnakumar 2005).

3.8 Effectiveness

Organisational effectiveness was rated as average to good and managerial effectiveness was rated as average (2 respondents) to good (3 respondents). One respondent rated management effectiveness as very good. Work culture was seen by two respondents as suitable however three others rated it as not suitable for organisational performance.

3.9 Human Resource (HR) management

CUSAT does not have a department to carry out HR functions however a number of HR functions are conducted either through the university or by the State Government. Responses from HoD

interviews suggest that 67 percent of the HoDs felt the current HR function is average, with two respondents rating it as poor.

3.9.1 HR practices

The need to introduce or improve eight HR practices were identified by respondents, and these are:

a) preparation for role
b) position description for HoD
c) performance appraisal for HoDs
d) remuneration for HoD role
e) succession plan in place
f) rotation of HoD
g) training, and
h) recruitment and selection procedures.

4.0 Heads of Departments (HoDs)

The study focused on gaining a greater understanding of the challenges, competencies and development needs of the HoDs. CUSAT's departments are headed by HoDs (which rotate every three years) with adequate financial powers (Ummerkutty, Stella & Shyamasundar 2004). CUSAT is the only University in the State where such a rotation system is practiced (NACC 2001). The HoD does not have a written job description, nor are the duties of the HoD outlined in the Cochin University First Statutes, (*The Cochin University First Statutes* 1980). However HoDs as an entity are listed in the official reference diary of the university (CUSAT 2006). Readers, Lecturers and other members of the teaching staff work under the direction of the HoD.

4.1 HoD role

The key issue to emerge in regard to the changes in role or responsibility of HoDs for CUSAT was **organisational change** as the HEI is has been identified to move in status from a state university to an IIT. The other key problem area to emerge for CUSAT was the **rotation of the HoD** on a three yearly basis, which although recognised as a positive (as compared to selection by seniority), does also allow HoDs without good skills to be rotated into the position.

4.2 Identified competencies

Nineteen competencies were identified by respondents. One competency was identified with the highest responses and this was *C12-figurehead*. The next highest competencies were: *C2-administration, C6-decision making, C8-developing people, C17-negotiating/influencing, and C23-teamwork.* Other competencies identified were: *C1-academic role, C5-co-ordination, C9-innovation, C10-integrity and ethics, C11-interpersonal skills, C14 managing resources, C15-monitoring and control, C16-motivating others, C18–organising, C20-problem solving, C22-stakeholder focus* and *C24-time management*. Five competencies for HoDs were identified by the VC, and these were: *C8-developing people, C10-integrity and ethics, C11-interpersonal skills, C12-figurehead, and C20-problem solving*.

4.3 Identified actions for development of competencies

Respondents identified four themes that will assist with the development of competencies and these were: government direction -particularly the central government taking over university will improve the chance of a more professional approach; implementation of a quality system; need for managerial leadership training; and improvement of HR processes- especially orientation to the job and strategies to enhance motivation to carry out the HoD role.

More than two thirds of respondents selected *classroom lectures* as their preferred managerial leadership development activity. Other activities that were selected by 50 percent of the respondents were *training programs* and *case discussions.*

5. List of sources of evidence

5.1 Interviewee participants

Dr. Wilson	HoD Management Studies
Dr N.S Gopalkrishnan	HoD Legal Studies
Dr P Radhkrishnan	HoD Phototonics
Dr P.A Shemin Aliyar	HoD Hindi
Dr M Jatharedan	HoD Mathematics
Dr K Vasudrevan	HoD Electronics
Dr Psudarsanan Pilla	Syndicate Member
Dr N.D Inasu	PVC

5.2 Focus Group Participants

There was no Focus Group held at CUSAT.

5.3 Contact

Dr. Wilson HoD School of Management.

5.4 Other sources

CUSAT (2006). Reference Diary. Kochi, CUSAT.
Joshi, A. and K. Joshi (1999). Quality improvement in self financing higher education. Effectiveness and quality in higher education. U. B. V. Negi, Association of Indian Universities, New Delhi.
Joshi, M. and V. Kulkarni (2004). Management information system for university administration. Management of University Administration. U. Negi. New Delhi, Association of Indian Universities.
Krishnakumar, G 2005, 'CUSAT likely to get Kinfra land for IIT', *The Hindu*, August 17, p.
NACC (2001). Peer Team Report on Institutional Accreditation of Cochin University of Science and Technology (CUSAT).
Pylee, M 1999, 'Reforming higher education', in U Negi & V Bhalla (eds), *Effectiveness and Quality in Higher Education*, Association of Indian Universities, New Delhi, pp. 58-92
Staff Reporter (2006). CUSAT suspends classes. The Hindu. Trivandrum**:** 7.
The Cochin University First Statutes, 1980.
THE UNIVERSITY GRANTS COMMISSION ACT, 1956 (as modified up to the 20th December, 1985).
Ummerkutty, AN, Stella, A & Shyamasundar, MS 2004, *State-wise analysis of accreditation reports -Kerala*, National Assessment and Accreditation Council.

APPENDIX J-4

Case Study D
University College, Trivandrum, Kerala, India.

University College (UC) is one of the two colleges universities selected for this study. The case begins with a background description and describes the sources of evidence for this case study. The sections following describe UC's organisation and the Head of Department (HoD) at UC. It concludes with the detailed sources of evidence used to gather information for this case study.

1. Background

UC is an Arts and Sciences College. The college, established by the Raja of Travancore in 1866, was initially affiliated to the University of Madras. It was known as Maharaja's College until 1942, when it was renamed as University College, and, in 1957 the administration of the college was handed over by the University to the State Government. The college obtained UGC recognition in 1956. It is an affiliated, government institution.

The college has 228 teachers, of which 211 are permanent; 50 have acquired M.Phils and 67 hold a PhD degree. The College has 40 approved research guides UC has also been nominated by the UGC to become an autonomous college (www.ugc.ac.in), though this requires state endorsement, which to date has not eventuated. University College is considered to be a *Centre of Excellence* (CPE) by the UGC and Kerala State Government. It meets the requirements of a centre of excellence due to the following factors:

- number of courses
- number of students
- facilities available
- number of staff with higher qualifications (over 55% hold a post graduate qualification and have a pass rate of 55% or higher in the *National Eligibility Test*), and
- number of departments with research facilities.

According to the Principal, Dr MS Girija, the University College has a "high brand" (interview notes) as the list of college Alumni reads like "a who's who" (ibid) containing eminent leaders and administrators.

1.1 Case organisation selection

UC was purposefully selected for this research project. It has been selected as a CPE and it is being considered for autonomous status. This means that it presents a as a different type of college than the vast majority of arts and sciences colleges in Kerala and is thus worthy of study.

1.2 Courses offered

The college offers 18 Under Graduate, 20 Post Graduate, 12 M.Phil and 14 PhD programmes. The student enrolment in the college is over 3000, with approximately 180 research scholars.

2. Sources of evidence

Following an initial approach to the college, Mr Gopal Krishnan was allocated by the Principal as the contact person for the period of the field research. Mr Gopal Krishnan is an active participant in the development of the college through accreditation and in its aim to be a centre of excellence. The Principal received a letter that introduced the research project, the Researcher, and sought approval for the Researcher to contact HoDs verbally suggested by Mr Gopal Krishnan to participate in the study.

2.1 Participant selection

Six interview participants were determined with the during the initial field visit. The six were nominated by Mr. Gopal Krishnan as being fluent in English, and either having an interest in the subject (and thus willing to allocate time for an interview) or, in his opinion, held views of interest for the study. In addition, the Principal was also interviewed.

2.2 Participant experience

Three HoDs interviewed had experience in the head position of up to four years; two had 5 -10 years experience in the role and one HoD had held the position for over 20 years. One HoD had been at UC for less than four years and one had been with UC for 5-10 years; and the other two each had worked at UC for between 16-20 and over 20 years respectively.

2.3 Other evidence available

In addition to the HoD, and Principal interviews, internal documents, reports, publications and the College web site were used to gather information. These supporting materials, listed at the end of the case study, provided additional evidence for clarifying and confirming the data provided by the interviewees during the month of February 2006.

3. UC's organisation

3.1 Mission

UC does not have a published Mission statement.

3.2 Organisational structure

At present the UC is an affiliating college of the University of Kerala. Academically it is controlled by the University of Kerala and administratively by the director of collegiate education under the Department of Higher Education, State of Kerala. If this is the case then as an autonomous college it has academic autonomy but not administrative autonomy. Another consideration is for the UC to become a deemed university and this is also under consideration. If the university was to become a deemed university then it would have both academic and administrative autonomy. UC is considered a *special grade* College which means that staff has enhanced pay due to higher qualification being held by the majority of staff members.

3.3 Management structure of University College

The senior position at the college is the Principal. The Principal is the academic and administrative head of the institution empowered with the planning and execution of the various activities. From the list of principals since the inception of the college, it is seen that while there was only one principal during the first 18 years, there were twenty principals during the last 18 years and this is largely to do with seniority. As principals are most often selected because of seniority they are also often very close to retirement age when they take on the position.

All departments have a Head of Department who is responsible for the running of the academic department. HoDs report to the Principal directly and assist in the administration of the College through the College Council. The College Council is constituted as per the guidelines of Government to advise the principal in the day-to-day administration. It consists of the Principal, HoDs and three elected staff members. The Council meets once in a fortnight to discuss matters relating to management of the university.

3.4 Academic departments

UC has 18 graduate departments, 20 post graduate departments (8 Science and 12 Humanities). University College is the only affiliating college of the University of Kerala to offer M. Phil and PhD programmes.

3.5 Affiliating colleges

UC has no Affiliating Colleges. It is an affiliating college to the University of Kerala.

3.6 Accreditation

The University college was last accredited in 2002 (Khole, Kurup & Pandian 2002).

3.7 Key challenges facing UC

From the accreditation process and from interviews the following key challenges for UC have been identified. Firstly, the need to adhere to the government rules and norms has severely restricted the freedom of the institution to experiment with innovation and multiple options as fitting a CPE. Secondly, the administrative function at UC requires immediate modernisation in terms of infrastructure and computerisation. The third key challenge is the decision by the UGC, to be implemented by state government, to change the status of the college. The issue of student agitation at the college remains a challenge and the final issue raised was recruitment particularly the ability to keep good staff at the college once it becomes autonomous.

3.8 Effectiveness

Respondents rated the organisational effectiveness of UC as average to good and the management effectiveness rating was rated as average to good. The majority of respondents rated the work culture as not suitable.

3.9 Human Resource (HR) management

UC does not have a department to carry out HR functions however a number of HR functions are conducted either through the university or by the state government. Responses from interviewees suggest that 67 percent of the HoDs felt the current HR function is average, with 33 percent rating it as poor.

3.9.1 HR practices

The need to introduce, or improve, seven HR practices were identified by respondents, and these are:

a) preparation for role
b) position description for HoD
c) performance appraisal for HoDs
d) remuneration for HoD role
e) succession plan in place
f) promotion, and
g) training particularly the need for an orientation programme.

4.0 Heads of Departments (HoDs)

The study focused on gaining a greater understanding of the challenges, competencies and development needs of the HoDs.

4.1 HoD role

The HoD is appointed by the principal who selects the next most senior person in the department. Thus future HoDs are aware of their expected time to be appointed HoD. Once appointed HoD, the incumbent stays in the position until retirement. Three key issues emerged in discussing the changes in role or responsibility of HoDs, or perceived problems, for HoDs and these were: the planned development of UC into an autonomous college and centre for excellence; need for improved/different managerial leadership skills and political interference.

4.2 Identified competencies

Eighteen competencies were identified by respondents. Seven competencies were identified with the highest responses and these were: *C4-communication skills, C5-co-ordination, C10-integrity/ethics, C11-interpersonal skills, C12-figurehead, C15-monitoring and control,* and *C20-problem solving.* The next highest cluster were: *C2-administration, C8-developing people, C16-motivating others, C18-organising,* and *C19-planning and objective setting.* The other competencies were: *C1-academic role, C9-innovation, C13-liaison and networking, C14 managing resources, C17-negotiating/influencing* and *C24-time management.* The Principal identified two key competencies most needed by HoDs and these were: *C10-integrity/ethics,* and *C12-figurehead.*

4.3 Identified actions for development of competencies

Three themes - government direction to introduce competencies, need for managerial leadership training and improvement of HR processes, and, specifically training across all levels of the organisation - were all identified as needed in order to help develop competencies of HoDs at the UC.

Respondents selected the following managerial leadership development activities that they would like partake in:

- mentoring
- personal development programs
- training programs
- classroom lectures, and
- films and videos.

5. List of sources of evidence

5.1 Interviewee participants

K Balakrishnan	HoD Geography
Dr S Sreekumar	HoD Zoology
Dr Asha Sarasunathy	HoD English
Dr A Radha	HoD History
Dr S Mohanan	HoD Physics
Dr M Alaudeen	HoD Chemistry
Ms Girija	Principal

5.2 Focus group participants

A focus group was held in November with invited HoDs to comment on the preliminary findings of the study and the participants were:

Dr Rita Krishnan	HoD Psychology
Laila Das	HoD French
R. Sulikha Beevi	HoD Philosophy

5.3 Contact

Mr Gopal Krishnan, Select Grade Lecturer, School of English.

5.4 Other sources

UGC (n.d). Press release: colleges with potential for excellence scheme, UGC.
Khole, V., M. Kurup, et al. (2002). Draft peer team report on institutional accreditation of University College, Thiruvananthapuram, Kerala.
University College (n.d). Web page, viewed 8th Jan 2006.
www.ugc.ac.in n.d., viewed February 2006.

APPENDIX J-5

Case Study E

Mar Ivanios College, Trivandrum, Kerala, India.

Mar Ivanios College (MIC) is one of the two colleges selected for this study. The case begins with a background description and describes the sources of evidence for this case study. The sections following describe MIC's organisation and the Head of Department (HoD) at MIC. It concludes with the detailed sources of evidence used to gather information for this case study.

1. Background

Mar Ivanios College is one of the Malankara Syrian Catholic Colleges established and administered by the Archdiocese of Trivandrum in accordance with the rights of the minority community guaranteed in the Constitution of India. The college was established to provide educational opportunities to young men and women irrespective of caste or creed and especially to members of the Syrian Catholic Christian Community.

It commenced in June 1949 (affiliated to the University of Travencore) and has been a college of the University of Kerala since the Universities inception in 1957. It has the status of a grant-in-aid college (Kokate, Katre & Soundararaj 2005).

It is recognised by the UGC under the UGC Act of 1956. It has a student strength of 1686 in undergraduate courses (UG), 242 in postgraduate (PG) courses, 46 in Ph.D. programmes, 43 in certificate/ diploma courses and 48 in self-funded courses. There are 94 approved teachers of whom 31 hold a Ph.D. The teacher-student ratio is 1:20. The social profile of the college is essentially semi-urban and women are in the majority (Kokate, Katre & Soundararaj 2005).

In 2004, the UGC identified Mar Ivanios College as one of the few (24) selected colleges of India as college with potential for excellence (CPE). MIC has been short listed by UGC for granting the autonomous status (Mar Ivanios College 2005-2006), but to date, the State Government has not enacted this.

1.1 Case organisation selection

MIC was purposefully selected for this research project as it is a private funded college which has also been selected as a CPE.

1.2 Courses offered

The college offers 17 programmes in both UG and PG courses and has proposals in for five more Masters degrees in Arts, Science and Business.

2. Sources of evidence

Following an initial approach to the Principal, Rev. Dr Samuel Kathukallil, he then received a letter that introduced the research project, the Researcher and sought approval for the Researcher to contact HoDs suggested by him, to participate in the study.

2.1 Participant selection

Six interview participants were nominated by the Principal as being fluent in English, and either having an interest in the subject (and thus willing to allocate time for an interview) or, in his opinion, held views of interest for the study. The Principal was also interviewed.

2.2 Participant experience

Two HoDs interviewed had experience in the head position of up to four years (with one having only recently commenced the in the position); three of the six had 5 -10 years experience in the role and one HoD had held the position for between 16-20 years. One HoD had been at MIC for less than four years and two had been with NITC for 5-10 years; the other three had worked at NITC for over 20 years.

2.3 Other evidence available

In addition to the HoD, and Principal interviews, internal documents, reports, publications and the MIC web site were used to gather information. These supporting materials, listed at the end of the case study, provided additional evidence for clarifying and confirming the data provided by the interviewees during the month of June 2006.

3. MIC's organisation

MIC is an aided, affiliated college of the University of Kerala.

3.1 Mission

MIC has as its mission the achievement of the core values of excellence in higher education, such as:

- contribution to national development
- fostering global competencies among students
- inculcating value system among students
- promoting the use of technology
- quest for excellence, and
- development of skills and character formation.

3.2 Organisational structure

The management of the college is centralised and the Principal is the central administrative head. It is acknowledged that the administration is top down. Nevertheless, decentralisation and participatory management are evident in the day to day administration. Inclusion of non-teaching staff in the Steering Committee is an instance of this.

3.3 Management structure of Mar Ivanios College

The senior position at the college is the Principal. The Principal is the academic and administrative head of the institution empowered with the planning and execution of the various activities. All departments have a Head of Department who is responsible for the running of the academic department. HoDs report to the Principal directly. Advisory bodies such as the College Council, the General Staff Council, the body of Staff Counsellors, the College Managing Committee, Committee of HoDs and Department Monitoring Committee also assist in the management of the college.

3.4 Academic departments

The college has 17 departments (Mar Ivanios College 2005-2006).

3.5 Affiliating colleges

MIC has no Affiliating Colleges. MIC is affiliated to the University of Kerala.

3.6 Accreditation

Mar Ivanios College was one of the first few institutions of the country and Kerala State to be accredited by NAAC in 1999. The NAAC report (1999) has highlighted Mar Ivanios as " .. one of the best run institutions of the country " (Ramachandran et al. 1999 p4). In this report the peer team

commented that: “it is eminently suited to being conferred 'Autonomous Institution' status and… one day …it can become a 'deemed-to-be-university”(Ramachandran et al. 1999 p4). The college was re-accredited in 2005 (Kokate, Katre & Soundararaj 2005).

3.7 Key challenges facing MIC

Respondents identified four organisational challenges. Respondents commented on (a) the lack of state government impetus to give MIC autonomy status (b) organisational issues of recruitment and work culture; (c) the changes in student expectations of the education they are receiving and (d) the need to ensure quality in education were also highlighted.

3.8 Effectiveness

Respondents rated the organisational effectiveness of MIC in the range from average to very good while the management effectiveness rating was more consistently rated as good. All respondents felt that the work culture was appropriate for their organisation.

3.9 Human Resource (HR) management

MIC does not have a department to carry out HR functions however the Principal is considering developing one in the next two years (interview notes). Respondents rated the current HR function as average (50%) to good (33%), with one respondent rating it as poor. The Principal also rated the HR function as poor.

3.9.1 HR practices

The need to introduce, or improve, eight HR practices were identified by respondents, and these are:

a) preparation for role
b) position description for HoD
c) performance appraisal for HoDs
d) remuneration for HoD role
e) succession plan in place
f) training (including orientation programme)
g) HR department required, and
h) promotion.

4.0 Heads of Departments (HoDs)

The study focused on gaining a greater understanding of the challenges, competencies and development needs of the HoDs.

4.1 HoD role

The HoD is appointed by the Principal who selects the next most senior person in the department. Thus, future HoDs are aware of their expected time to be appointed HoD. Once appointed HoD, the incumbent stays in the position until retirement. Respondents did not identify any key changes in role or responsibilities of the HoD, or perceived problems, over the next 5 year period.

4.2 Identified competencies

Eleven competencies were identified by respondents. Three competencies were identified with the highest responses, and these were: *C5-co-ordination, C10-integrity/ethics,* and *C12-figurehead*. The next highest cluster was: *C1-academic role, C8-developing people, C17-negotiating/influencing,* and *C18-organising*. The other competencies were *C2-administration, C11-interpersonal skills* and *C20-problem solving.* The Principal identified five key competencies most needed by HoDs, and these were: *C2-administration, C9-innovation, C11-interpersonal skills, C16-motivation,* and *C23-teamwork*.

4.3 Identified actions for development of competencies

Respondents identified two themes: the need for managerial leadership training for HoDs and specifically having the HRD provide motivational training to all staff aimed at excellence.

More than two thirds of respondents selected the following managerial leadership development activities that they would like partake in:

- developmental assessment centres and workshops
- personal development programs
- classroom lectures
- films and videos, and
- behavior role modeling.

5. List of sources of evidence

5.1 Interviewee participants

Anne Kristine Madeira	HoD English
Dr Cheri an Thomas	HoD Mathematics
Dr V.S Jay Kumar	HoD Physics
T.V George	HoD Zoology
Dr K.M Francis	HoD Economics
Varghese Zachariah	HoD Chemistry
Rev. Dr Samuel Kathukallil	HoD Principal

5.2 Focus group participants

There was no Focus Group held at MIC.

5.3 Contact

Revu. Dr Samuel Kathakali, Principal**.**

5.4 Othe sources

Konate, C., S. Kate, et al. (2005). Peer Team Report of the Re-Accreditation of Mar Ivanhoe College, Trivandrum.

Mar Ivanios College (2005-2006). Handbook, Mar Ivanios College, Thiruvananthapuram.

Mar Ivanios College (n.d). Web page, www.marivanioscollege.ac.in, viewed 8th January 2006).

Ramachandran, P., S. Ramachandran, et al. (1999). Report of Peer Team set up by NAAC for Assessment and Accreditation of Mar Ivanios College, Thiruvananthapuram.

APPENDIX J-6

Case Study F
National Institute of Technology Calicut, Kerala, India.

1. Background

National Institute of Technology Calicut (NITC) is a federally funded technical university established in 2002. It is one of the twenty National Institutes of Technology, one in each major state of India. These institutes have been established by the Government of India for fostering national integration by imparting technical education to students from all over the country. With the passing of the National Institutes of Technology Act in May 2007, NITC has been declared an Institute of National Importance. NITC was a lead institute under the World Bank funded Technical Education Quality Improvement Program (TEQIP) which began in 2002. In 2007 NITC raised its annual intake for its undergraduate program to 570. In the Dataquest IDC-NASSCOM India T-School Rankings, NITC was ranked 14th overall in India in 2006 and 15th in 2007. NITC has consistently figured among the top ten institutes in India based on the performance of its students in the Graduate Aptitude Test (GAT) in Engineering.

1.1 Case organisation selection

NITC was purposefully selected for this research project. It qualified as a federal deemed university. Another factor is the autonomous status and its ranking as a successful institution with special funding designed to have NITC evolve into a world-class institution. A third factor is the uniqueness of the student body; with half of the undergraduate student body coming from the home state and the other half coming from the rest of India creating a diverse student body.

1.2 Courses offered

NITC offers 18 Under Graduate, 20 Post Graduate, 12 M.Phil and 14 PhD programmes. The student enrolment in the college is over 3000, with approximately 180 research scholars.

2. Sources of evidence

Following an initial approach to Dr G.R.C Reddy, Director**,** he received a letter that introduced the research project, the Researcher and sought approval for the Researcher to contact HoDs verbally invited by him to participate in the study.

2.1 Participant selection

Six interview participants were determined with the Director during the initial field visit. The six were nominated by the Director as being fluent in English, and either having an interest in the subject (and thus willing to allocate time for an interview) or, in his opinion, held views of interest for the study. The Director was also interviewed.

2.2 Participant experience

All HoDs interviewed had experience in the head position of up to four years; five of the six had worked at NITC for over 20 years and one had been with NITC for 5-10 years.

2.3 Other evidence available

In addition to the HoD, and Director interviews, internal documents, reports, publications and the NITC web site were used to gather information. These supporting materials, listed at the end of the case study, provided additional evidence for clarifying and confirming the data provided by the interviewees during the month of July 2006.

3. NITC's organisation

NITC is a Deemed University with federal funding and operates under the National Institutes of Technology Act 2007.

3.1 Mission

NITC does not have a published Mission statement.

3.2 Organisational structure

The Ministry of Human Resource Development, Government of India, accorded NIT status to Regional Engineering College Calicut in June 2002 granting it academic and administrative autonomy.

3.3 Management structure of NITC

Under the constitution of the National Institutes of Technology Act 2007, the President of India is the Visitor to the Institute. The authorities of the institute are Board of Governors and the Senate. The Board is headed by the Chairman, who is appointed by the Visitor. The Board of Governors also has nominees of the Central Government, the State Government, the NIT Council and the Institute Senate. The Director, who is the Secretary of the Board, looks after the day-to-day running of the institute. Each academic department has a HOD who reports directly to the Director.

3.4 Academic departments

NITC has 18 graduate departments, 20 post graduate departments (8 Science and 12 Humanities).

3.5 Affiliating colleges

NITC has no affiliating Colleges.

3.6 Accreditation

NITC has not been accredited as it is not funded under UGC.

3.7 Key challenges facing NITC

Respondents identified three organisational challenges facing NITC: one external-that of the Federal government developing the college into a NIT; and two internal-the development of a quality focus, especially as the institution faces increasing competition, and the need to improve recruitment and promotion processes to ensure motivated and quality staff at NITC.

3.8 Effectiveness

Respondents rated the organisational effectiveness of MIC as average, good to very good; while the management effectiveness was rated as average, with one rating of good and one of very good. All respondents felt that the work culture was appropriate for their organisation.

3.9 Human Resource (HR) management

NITC does not have a department to carry out HR functions. Responses from Case F interviews suggest that three of the six HoDs who responded felt the current HR function is average, with the other three respondents rating it as poor.

3.9.1 HR practices

The need to introduce, or improve, 8 HR practices were identified by respondents, and these are:

a) preparation for role
b) position description for HoD
c) performance appraisal for HoDs
d) remuneration for HoD role
e) succession plan
f) training (including orientation programme)
g) HoD workload, and
h) promotion.

4.0 Heads of Departments (HoDs)

The study focused on gaining a greater understanding of the challenges, competencies and development needs of the HoDs.

4.1 HoD Role

The HoD is appointed by the Director who selects the next most senior person in the department. Thus future HoDs are aware of their expected time to be appointed HoD. Once appointed HoD, the incumbent stays in the position until retirement. Three key issues emerged in discussing the changes in role or responsibility of HoDs, or perceived problems, for HoDs and these were: the need to balance the various demands of the role; the need for increased authority and delegation, and the need for more trust to be developed between management and the HoDs.

4.2 Identified Competencies

Fifteen competencies were identified by respondents. One competency was identified with the highest responses and this was *C17-negotiating/influencing*. The next highest cluster was: *C2-administration, C4-communication skills, C7-developing and communicating a vision, C8-developing people,* and *C11-interpersonal skills*. Other competencies identified were: *C9-innovation, C10-integrity and ethics, C12-figurehead, C13-liaison and networking, C14 managing resources, C16-motivating others, C18-organising, C19-planning and objective setting* and *C20-problem solving.* The Director identified the following three competencies for HoDs: *C9-innovation, C12-figurehead,* and *C13-liaison and networking*.

4.3 Identified actions for development of competencies

Two respondents identified the need for managerial leadership training on competencies. More than two thirds of respondents selected the following managerial leadership development activities that they would like partake in:

- mentoring
- personal development programs
- classroom lectures, and
- films and videos.

5. List of Sources of Evidence

5.1 Interviewee Participants

Dr K. Prabhakaran Nair	HoD Mechanical Engineering
Dr K.M Moideen Kutty	HoD Electrical Engineering
Dr Lillykutty Jacob	HoD Electronics Engineering
Dr M.P Sebastian	HoD Computer Engineering
Dr G. Unnikrishnan	HoD Science & Humanities
Dr V Mustafa	HoD Civil Engineering
Dr G.R.C Reddy	Director

5.2 Focus Group Participants

There was no Focus Group at NITC.

5.3 Contact

Dr G.R.C Reddy, Director

5.4 Other Sources

Ummerkutty, A. N., A. Stella, et al. (2004). State-wise analysis of accreditation reports -Kerala, National Assessment and Accreditation Council**:** 1-40.

UGC (n.d). Press release: Colleges with potential for excellence scheme, UGC.

http://en.wikipedia.org/

National Institutes of Technology Act 2007 http://rajyasabha.nic.in/bills-ls-rs/2006/XLIII_2006.

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Appendix K Description of MLCs in the CVM

Competency	***Description***
Understanding self and others	Caring, empathetic orientation. High level of self awareness and consideration of how one's actions as a manager influence employee actions.
Communicating effectively	Listens effectively; communicates essential information in a timely and efficient manner.
Developing employees	Be open and fair; supports legitimate requests, conveys appreciation and gives recognition; delegates effectively.
Building teams	Demonstrates team building behaviours, team has a common purpose and accountability participation, consensus building; clear definition of roles of members in teams.
Use participative decision making	Involve employees in organisational decision making; able to decide which decisions should be participative.
Managing conflict	Understand the nature of conflict and use conflict management strategies.
Analysing information through critical thinking	Uses sound reasoning in creating and evaluating arguments.
Monitoring individual performance	Uses a performance evaluation/ management system; provides regular feedback sessions to staff; identifies training needs or opportunities for growth.
Managing collective performance and processes	Managing core processes: Knows what is happening in the department; understand the current form of critical processes in the organisation; identify the core indicators that will tell you how a process is going; e.g. examination results. Manage information overload; able to filter out irrelevant information; select helpful information.
Managing projects	Manage project teams; guide projects to completion; use appropriate project planning tools.
Designing work	Able to design and redesign work roles and allocating work e.g. writing the position (job) descriptions of academic staff; use of job enlargement; enrichment and job rotation.
Managing across functions	Work effectively across departments and areas at the university/college.
Developing and communicating a vision for your department	Creating focus on the HoD's plan for the department. Engender a feeling of confidence in your followers. Define, express and frame the vision; articulate it clearly.
Setting goals and objectives	Formulation of specific organisational goals, objectives and plans. Translate these into sub goals for the divisional, functional or unit level.
Designing and organising	Allocate and co-ordinate departmental resources to accomplish goals, including staffing and budgets; allocating tasks; organising reporting lines.
Working productively	Creating a productive work environment; understanding motivation.

Appendix K cont.

Competency	***Description***
Fostering a productive work environment	Providing opportunities for training and development; pride in work, openness and fairness in the work environment; developing empowerment of self and others; fostering friendliness and camaraderie.
Managing time and stress	Balance competing demands for time; set goals; use time and stress management strategies including prioritising.
Building and maintaining a power base	Being as influential as possible in affecting the key objectives of the organisation; networking.
Negotiating agreement and commitment	Ability to have a dialogue with others; use influencing and negotiating strategies to reach agreement and commitment.
Presenting ideas	Use public speaking strategies to present credible information and arguments in various forums.
Handling change	Have a clarity of purpose; deal with personal change and negative emotions.
Thinking creatively	Generation of new ideas; thinking laterally; redefine the known into new combinations or relationships; understand creativity strategies such as brain storming.
Managing change	Understand and use change management strategies; design, implement and monitor change.

[Developed for this study from Quinn et al (2003)]